Regulatory Reporting System

Regulatory Reporting System (RRS)
Manage Corporate Returns

User Guide

January 31, 2015

Version 2.1

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1.0 Introduction

The RRS Portal application (referred to as RRS or the RRS application from this point) provides access for Federally Regulated Financial Institutions (FRFIs) and Federally Regulated Private Pension Plans to submit regulatory return information. With RRS you can create, delete, complete and submit corporate returns, view your organization's profile, view documents and manage your user details.

To access RRS you will need a Bank of Canada Secure Site User account.

The first time you access RRS, you will set up your account, which involves setting your password and preferred language.

This guide details how to use RRS to complete and submit corporate returns. To complete and submit financial returns refer to the Manage Financial Returns User Guide.

1.1 Using this Document

This document uses the following conventions to increase clarity:

- **Bold text** indicates a selection or data field to be filled in.
- *Italics* indicate a reference to a section within this document or a page within the Secure Site.

In addition, there are three types of sidebars, each identified by an icon:

	Information – These sidebars contain extra detail, or describe optional steps.
	Caution – These sidebars point out a possibility that may cause unexpected behaviour and tell you how to correct the issue, if you encounter it.
	Warning – These sidebars alert you to something important that can affect your ability to use RRS.

1.2 Technical Requirements

For best performance, the following technical requirements are recommended:

- Microsoft Internet Explorer version 8 or higher
- Adobe Flash Player version 9 or higher
- Cookies enabled

- JavaScript enabled, and
- Microsoft Excel 2003 or higher (to download information into Excel format)

Note that the Secure Site and RRS application have been tested and certified with the specified web browser.

1.3 Support

If you encounter an issue or problem with the RRS application that isn't covered by this Guide, you can:

- Contact your organization's LRA
- Contact the **Bank of Canada at 1-855-865-8636**
- Contact the Returns Administration group at **OSFI at (613) 991-0609** for issues related to corporate returns

2.0 Logging into RRS

To log into RRS, you need to be logged into the Bank of Canada's Secure Site. Once logged into the Secure Site the RRS login page displays.

- If you are logging into RRS for the first time, see 2.2*: Logging in for the First Time*.
- If you have forgotten your RRS password, see 2.3*: Resetting Your RRS* Password.

	Refer to the Bank of Canada Secure Site User Guide for information on logging into the Bank of Canada's Secure Site.

2.1 Log into RRS

To log into RRS:

Begin at the RRS Login page.

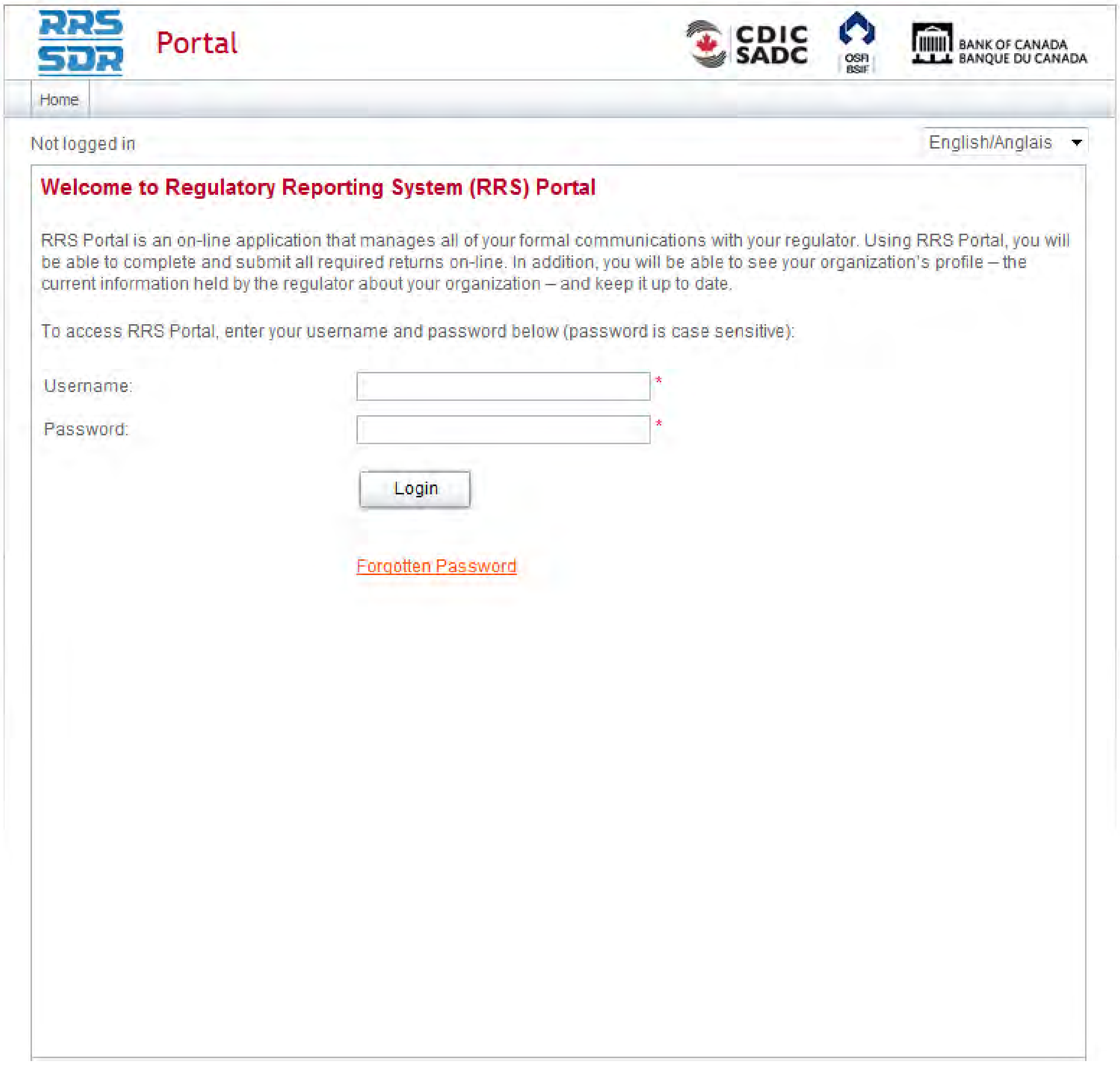

Figure 2-1: Login Page

1. In the **Username** field, enter your RRS Username.
2. In the **Password** field, enter your RRS Password.
3. Click **Login** to continue.

	Incorrect Login Attempts:
	After five incorrect login attempts, your account will be locked out. If this happens, you can click the Forgotten Password link to reset your account. See 2.3: *Resetting Your RRS Password* for more information.

	Organization Selection:
	You can be associated with more than one organization in RRS. Follow the steps below to select the organization that you would like to work on.

<u>If you have permission to access more than one organization:</u>

1. Follow the steps above to log in.

The Select organization page displays.

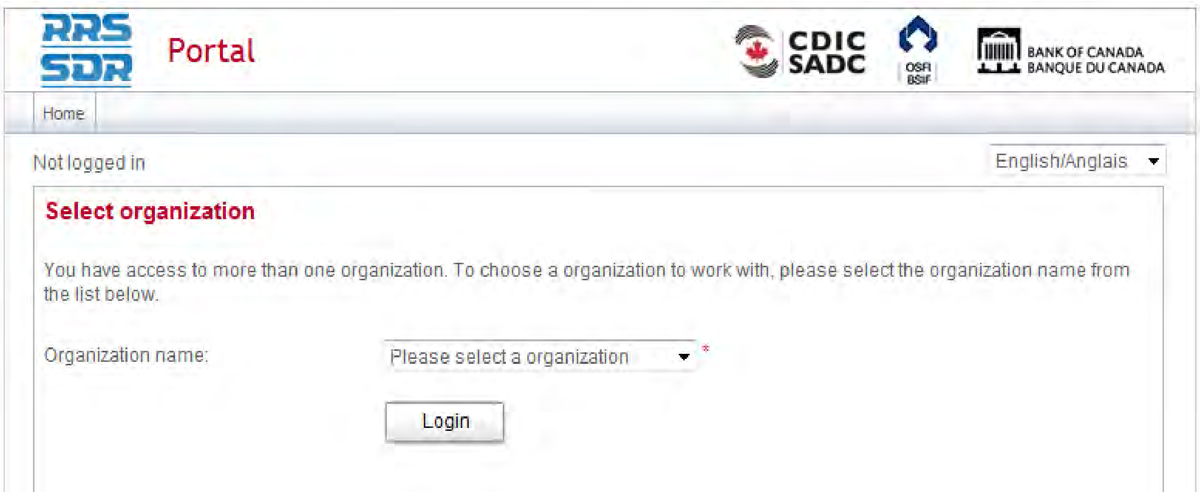

Figure 2-2: Select Organization Page

2. Click the drop-down menu.
3. Select the name of the organization you want to access.
4. Click **Login**.

The Welcome page displays with the word “Change” beside your username indicating that you belong to more than one organization.

<u>To change the organization selection:</u>

1. Click the **Change** link at the end of your username.

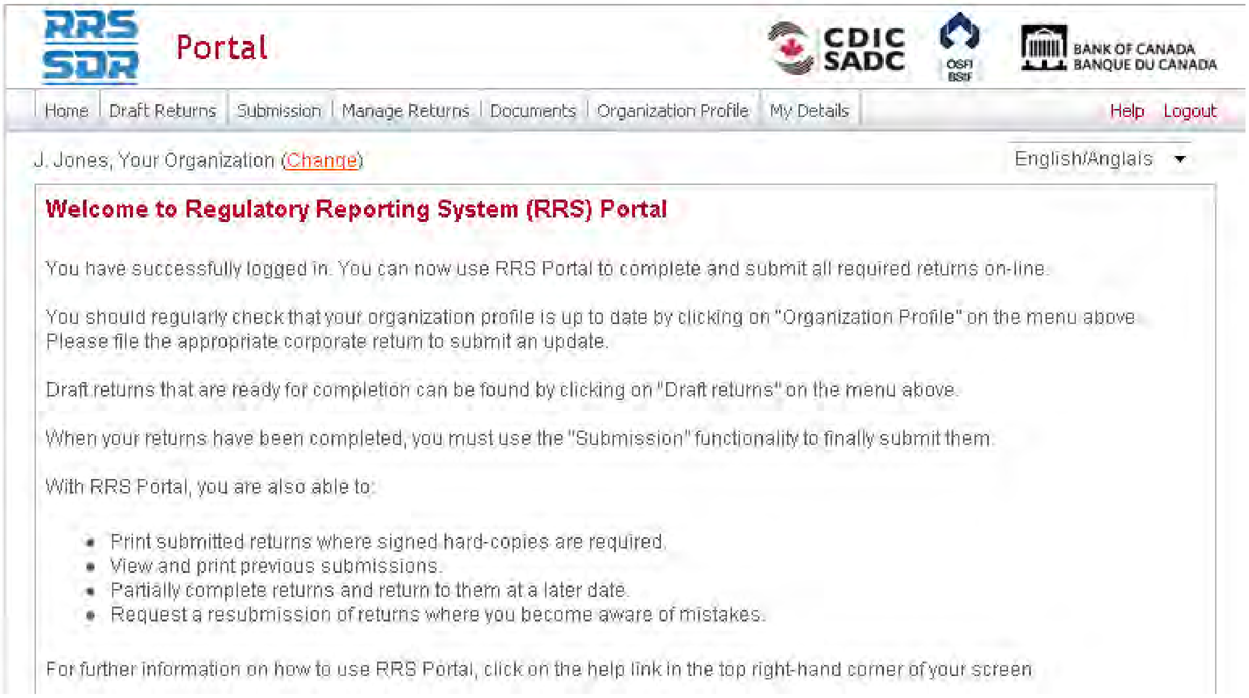

Figure 2-3: Change Organization Page

Follow the steps above to change the organization.

2.2 Logging in for the First Time

The first time you log into RRS, you'll be asked to update your temporary password. This process involves entering a new password and setting your language preference.

<u>To log into RRS for the first time:</u>

Begin at the RRS Login page.

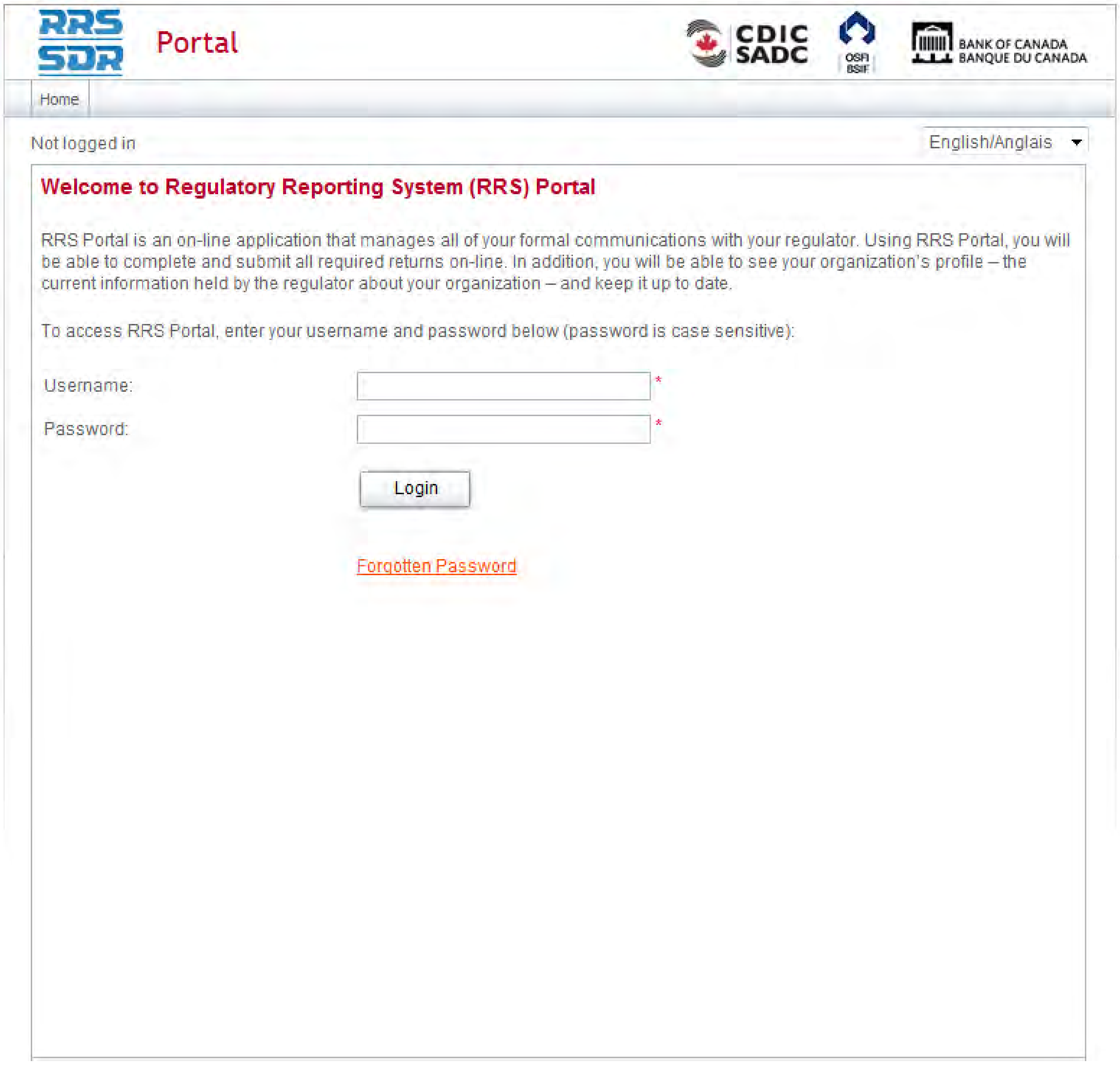

Figure 2-4: Login Page

1. In the **Username** field, enter your RRS Username.
2. In the **Password** field, enter the temporary RRS Password given to you in an email entitled "New Portal User Account".
3. Click **Login**.

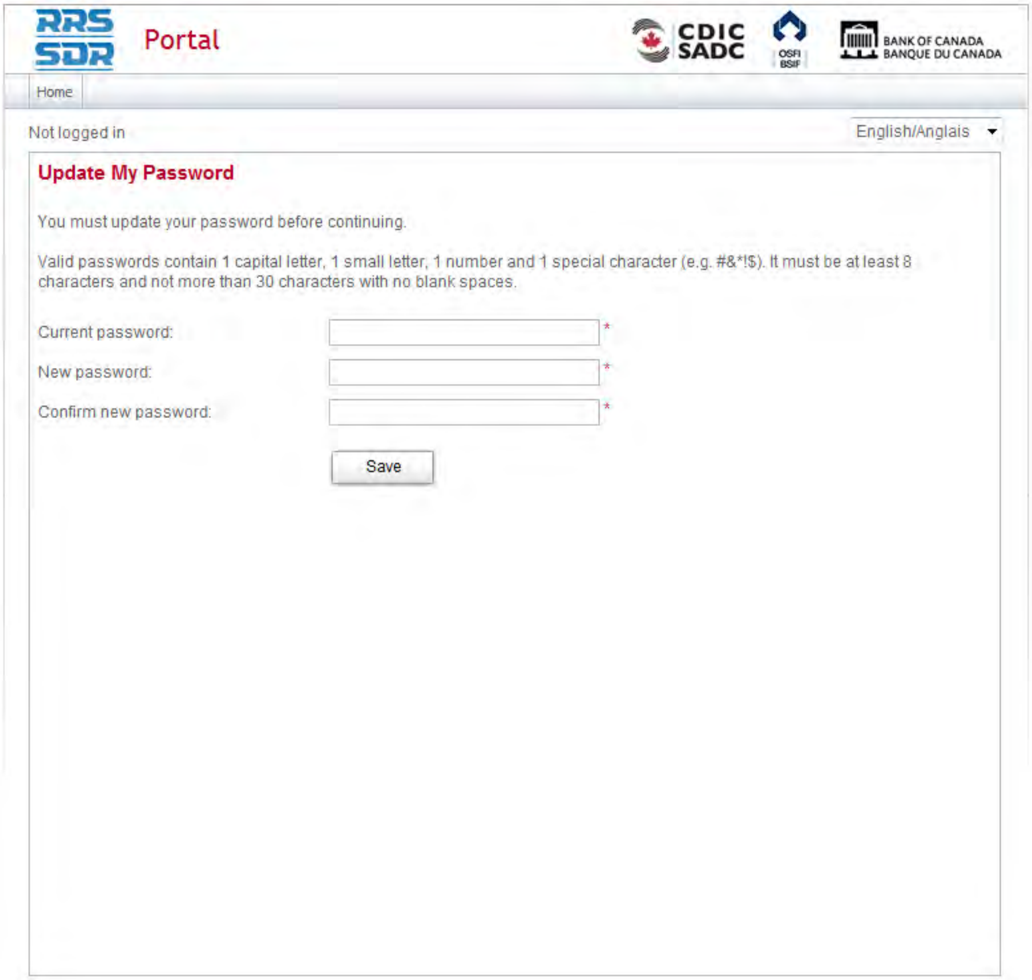

Figure 2-5: Update My Password Page

4. In the **Current password** field, enter your temporary RRS Password.
5. In the **New password** field, enter a new RRS Password.

Passwords:

Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.

6. In the **Confirm new password** field, re-enter your new RRS Password.
7. Click **Save** to set your RRS Password.

The My User Details page displays. From here you can set your preferred language.

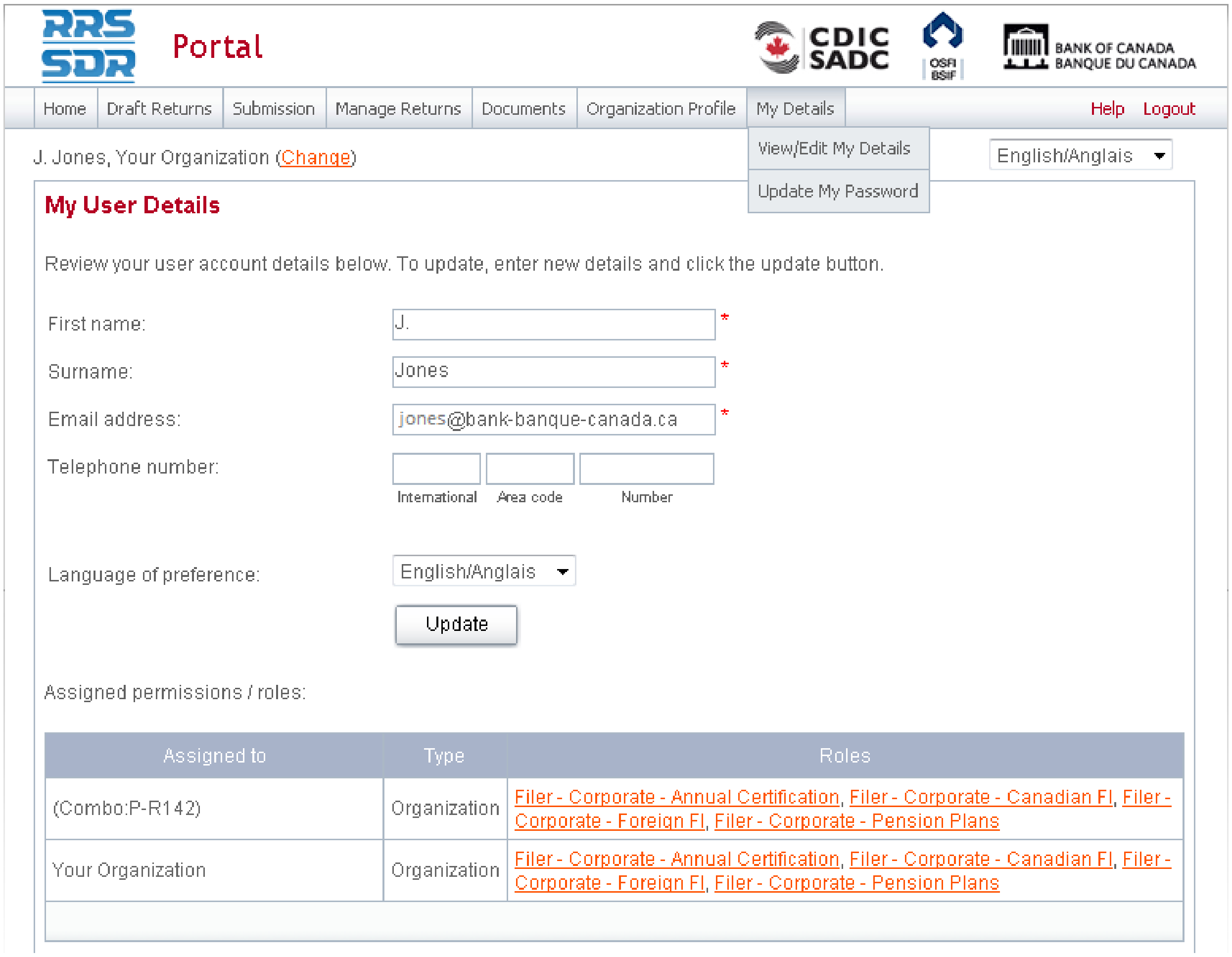

Figure 2-6: Update My Password Page

8. Click the drop-down menu in the **Language of preference** field.
9. Select your preferred language.
10. Click **Update**.

Your preferred language is now set. Each time you log in RRS will display in your preferred language.

	Language:
	Although your preferred language is set, you can change the language during a session by clicking the drop-down menu on the language field below the **Logout** link on the top right of each page in the application. The language reverts back to the original setting when you logout.

2.3 Resetting Your RRS Password

The RRS Password reset functionality allows you to reset your forgotten password.

<u>To reset your password:</u>

Begin at the Login page.

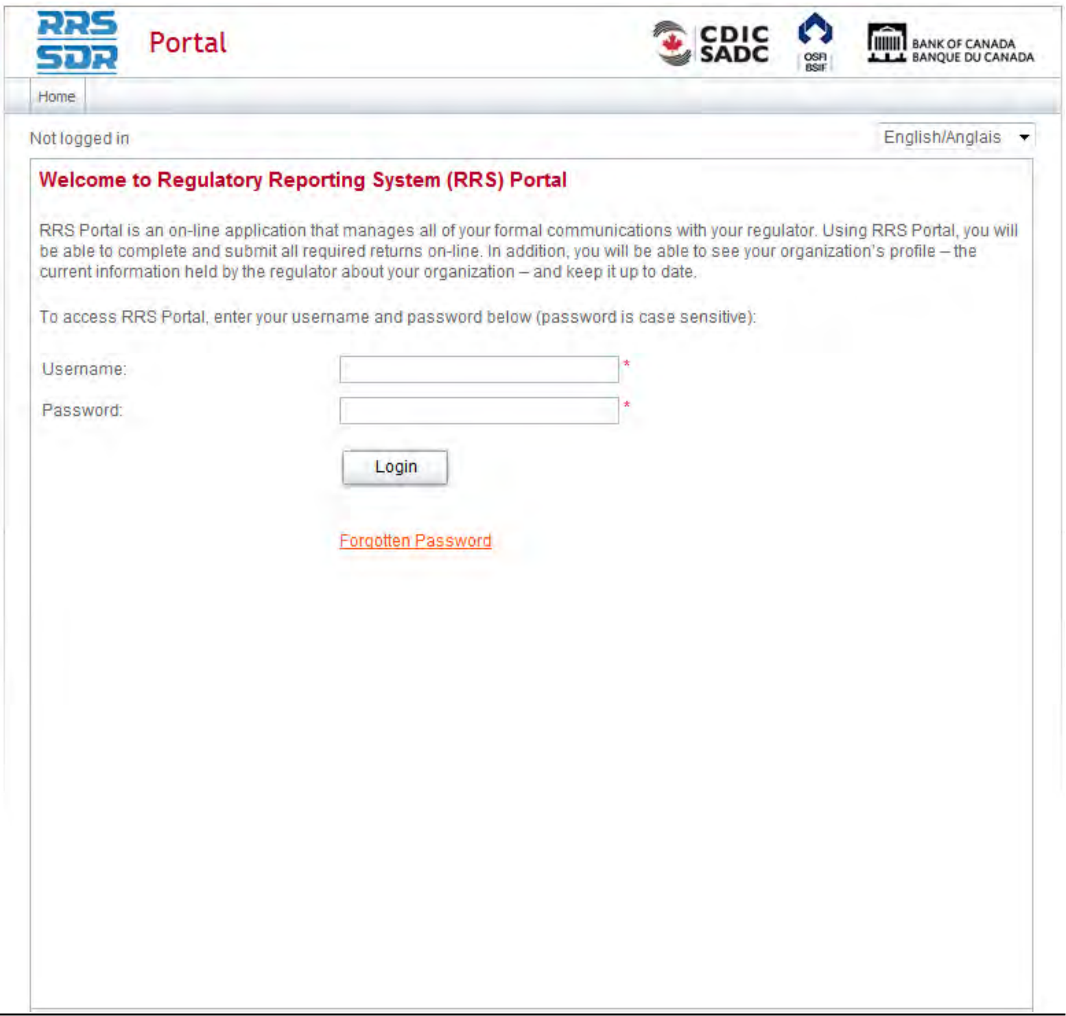

Figure 2-7: Login Page

1. From the Login page, click the **Forgotten Password** link.

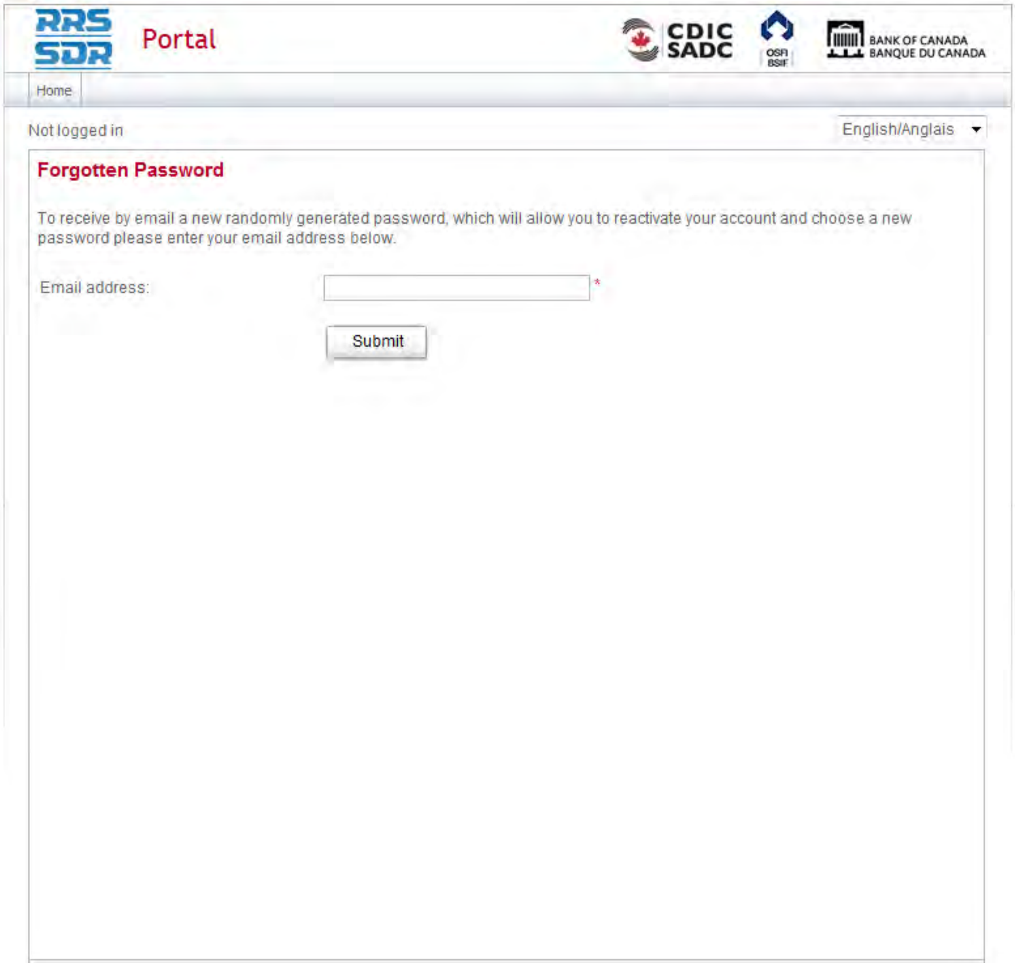

Figure 2-8: Forgotten Password Page

2. In the **Email address** field, enter your email address registered in RRS.
3. Click **Submit**. The Forgotten Password page informs you that a temporary password has been emailed to you.
4. Navigate to your email and search for an email entitled “Account Reactivation”.
5. Copy the new password and navigate back to RRS.
6. Click the **Home** menu item.

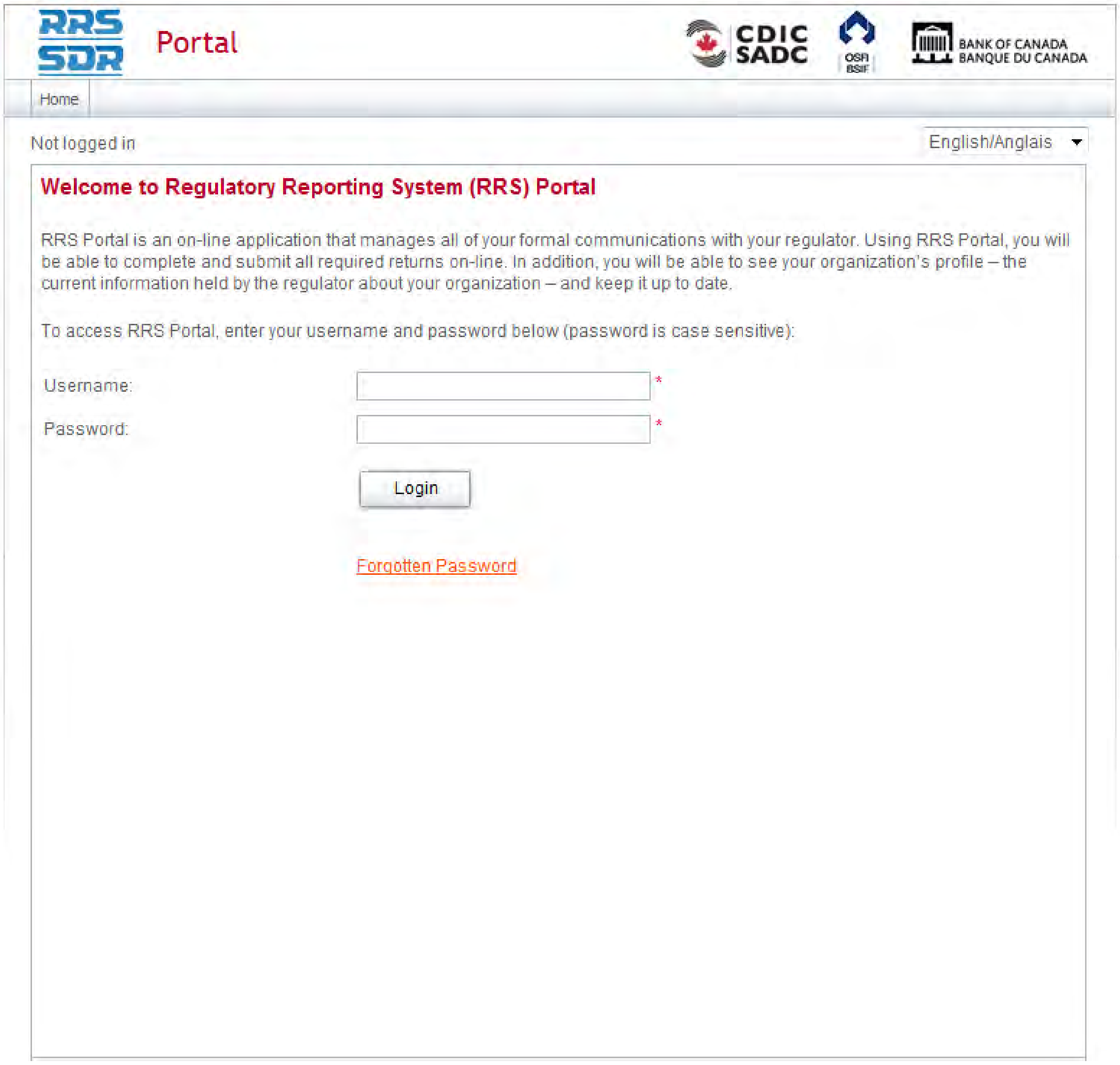

Figure 2-9: Login Page

7. Enter your username.
8. Enter your temporary password.
9. Click **Login**.

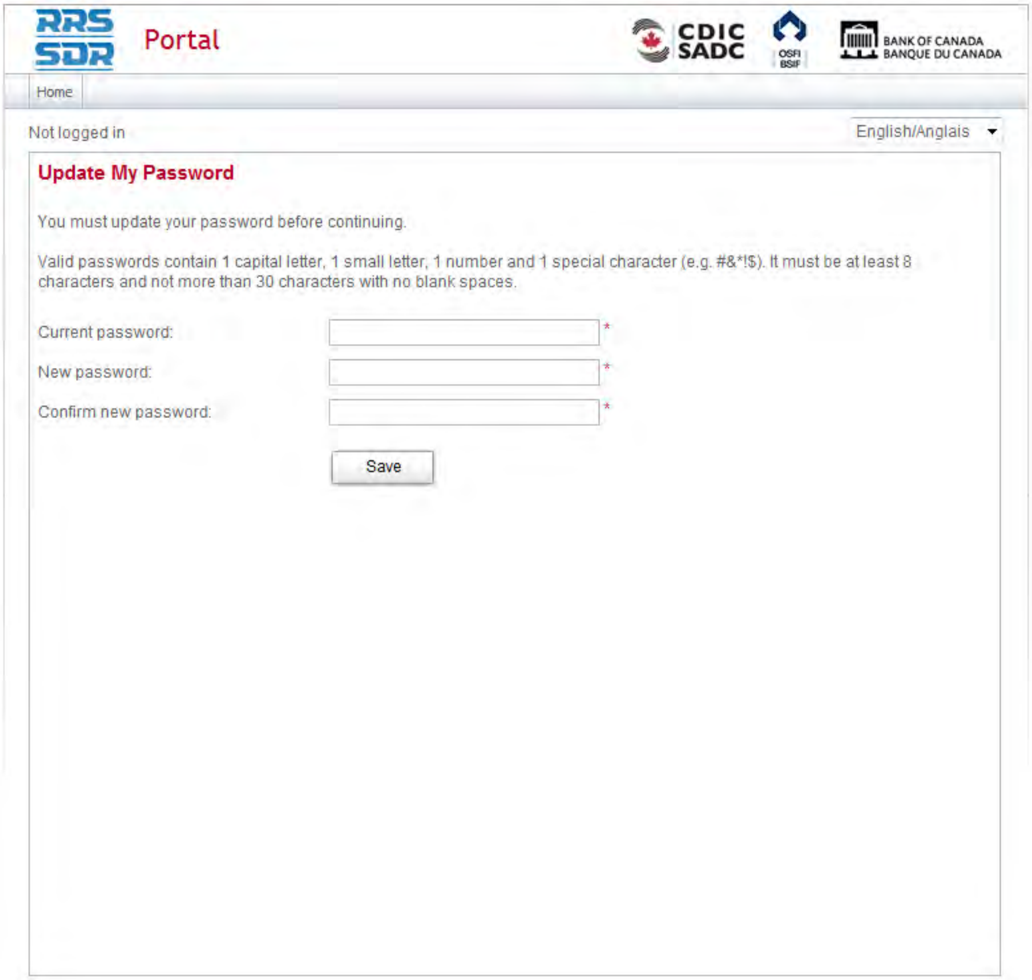

Figure 2-10: Update My Password Page

10. Enter your temporary password in the **Current password** field.
11. Enter your new password in the **New password** field. Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.
12. Re-enter your new password in the **Confirm new password** field.
13. Click **Save**.
14. If necessary, you can update your telephone number or language of preference.
15. Click **Update**.

3.0 General Instructions on Managing Corporate Returns

RRS provides functionality to create, complete and submit corporate returns to the Bank of Canada (BoC), the Office of the Superintendent of Financial Institutions (OSFI) and/or the Canada Deposit Insurance Corporation (CDIC). This section covers how to create and delete returns, complete and submit returns, view returns, and view and correct errors in a return.

	Corporate Return Support
	If you encounter an issue or problem with completing and submitting a corporate return that isn't covered in this Guide, contact the Returns Administration group at **OSFI at (613) 991-0609**.

Managing corporate returns involves submitting a regulatory return through the RRS application. There are three scenarios that involve managing corporate returns:

- Scenario #1: a corporate return can be scheduled by your regulator for submission, in which case the return would display automatically in the Draft Returns menu. Instructions on how to perform this function are detailed in Section 3.1.
- Scenario #2: a specific event such as a change to your organization's general contact information can trigger the need for a corporate return to be filed, in which case the return would need to be created through the Manage Returns menu. Instructions on how to perform this function are detailed in Section 3.5.
- Scenario #3: a review of your organization's profile could indicate the need for an update to specific information through the submission of a corporate return. Instructions on how to perform this function are detailed in Section 5.0.

Rules and Errors

When entering information manually into a return, the data is validated against rules that are set up within each return. Two separate sets of rules are used to validate returns: structural and validation. ***Structural rules*** validate the format and structure of the data being reported, such as entering numeric versus textual information as appropriate. ***Validation rules*** validate the accuracy of the data being reported, against what is located within the profile. Structural validation occurs when the Validate and Save button is clicked. When you attempt to submit a return, validation rules are applied. If a return fails validation you are presented with an error message. Returns with errors, display with a white exclamation mark in a red circle on the Draft Returns page. In the event of an error, you will need to correct the information to continue.

Validation rules can be applied to specific sections of a return, but if any section fails validation, the return cannot be processed as the entire return needs to be valid before it can be submitted. Validation rules are documented in the Return Rules report specific to each return type.

Draft Return Key Icons

The Draft Return page displays icons that are used to depict specific return information. The key icons are described as follows:

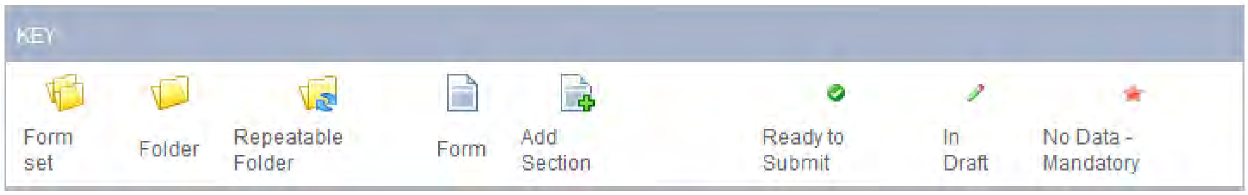

Figure 3-1: Draft Return Key

Form Set: a double set of folders represents an entire return which could consist of one or many forms, also known as sections.
Folder: a single folder represents a structural grouping of forms, also known as sections.
Repeatable Folder: a single folder with blue arrows indicates a folder that has repeatable sections.
Form: a page symbol indicates a section within a return.
Add Section: a page with a green plus sign allows forms, also known as sections, to be added to a return where applicable.
Ready to Submit: the white check mark in a green circle symbol indicates the return has been validated, meaning that it has passed structural rules and is ready to submit.
In Draft: the pencil symbol indicates this return has been saved as a draft and not yet validated
No Data – Mandatory: the red star symbol indicates there is no data in this return and that mandatory fields exist.

Note: the absence of a red star on a return or return section indicates there are no mandatory fields.

3.1 General Instructions on Completing and Submitting a Corporate Return

Begin at the RRS Welcome page.

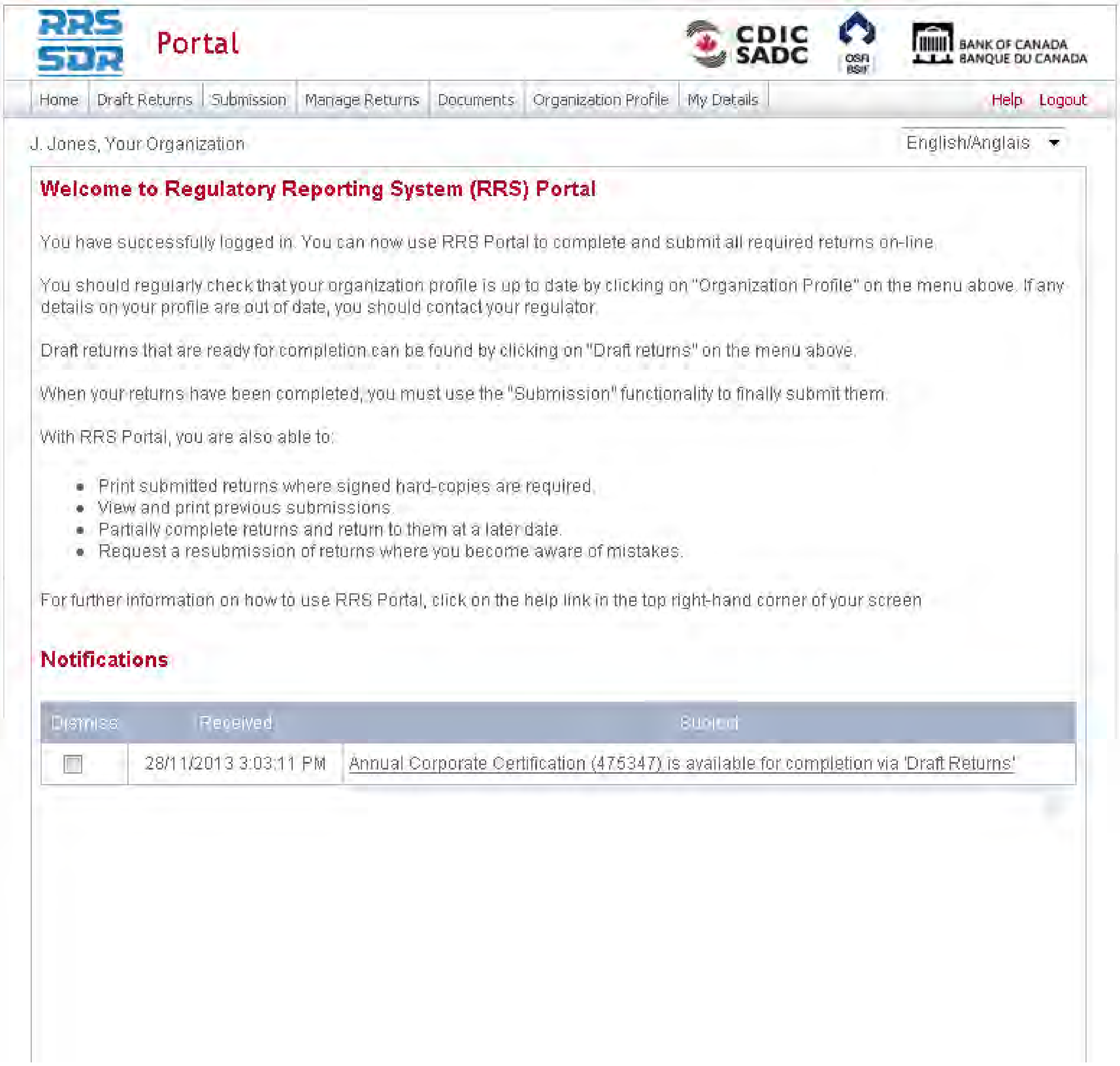

Figure 3-2: Welcome Page

1. Click the **Draft Returns** menu item.

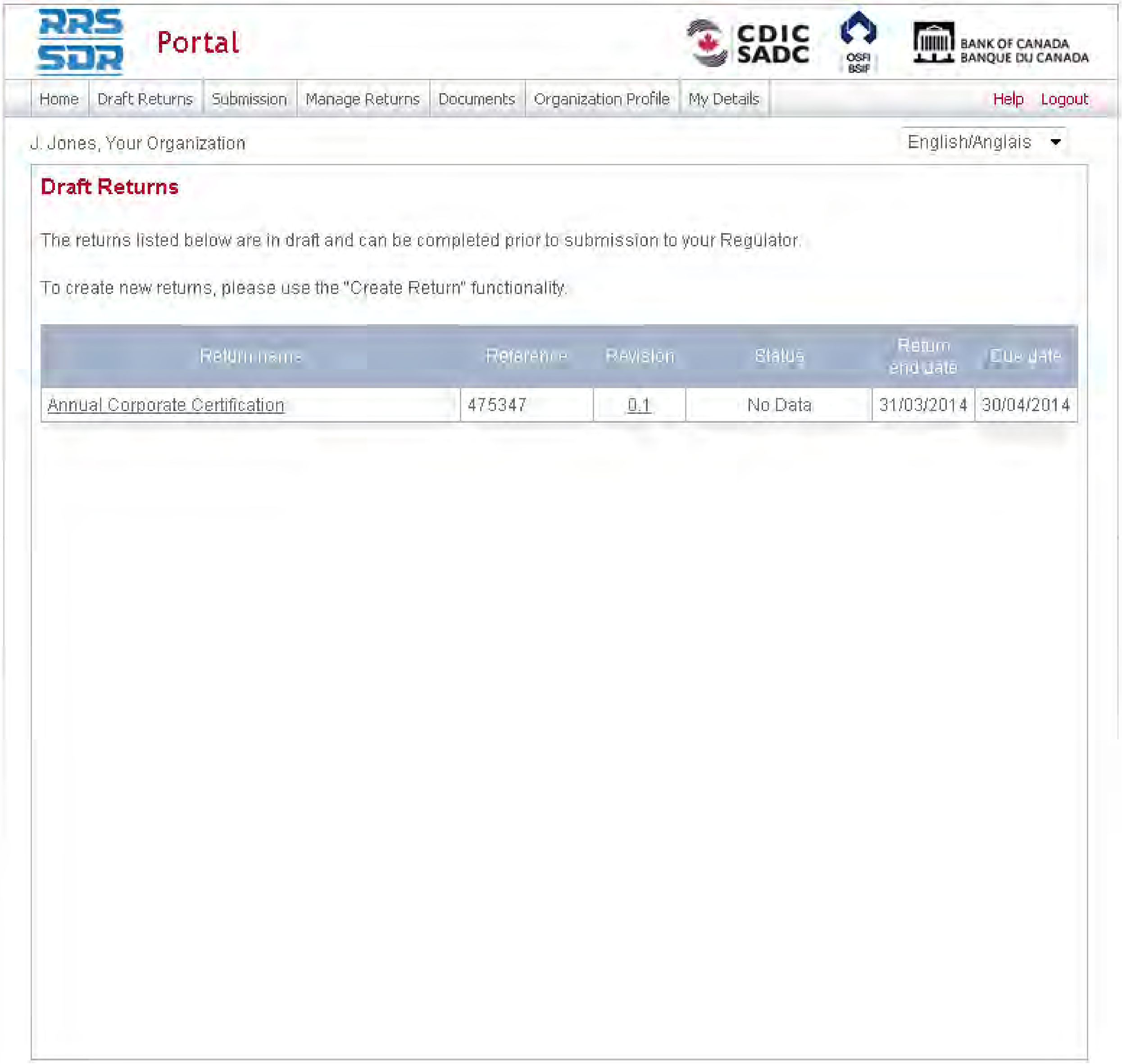

Figure 3-3: Draft Returns Page

2. Click the return name to be completed.

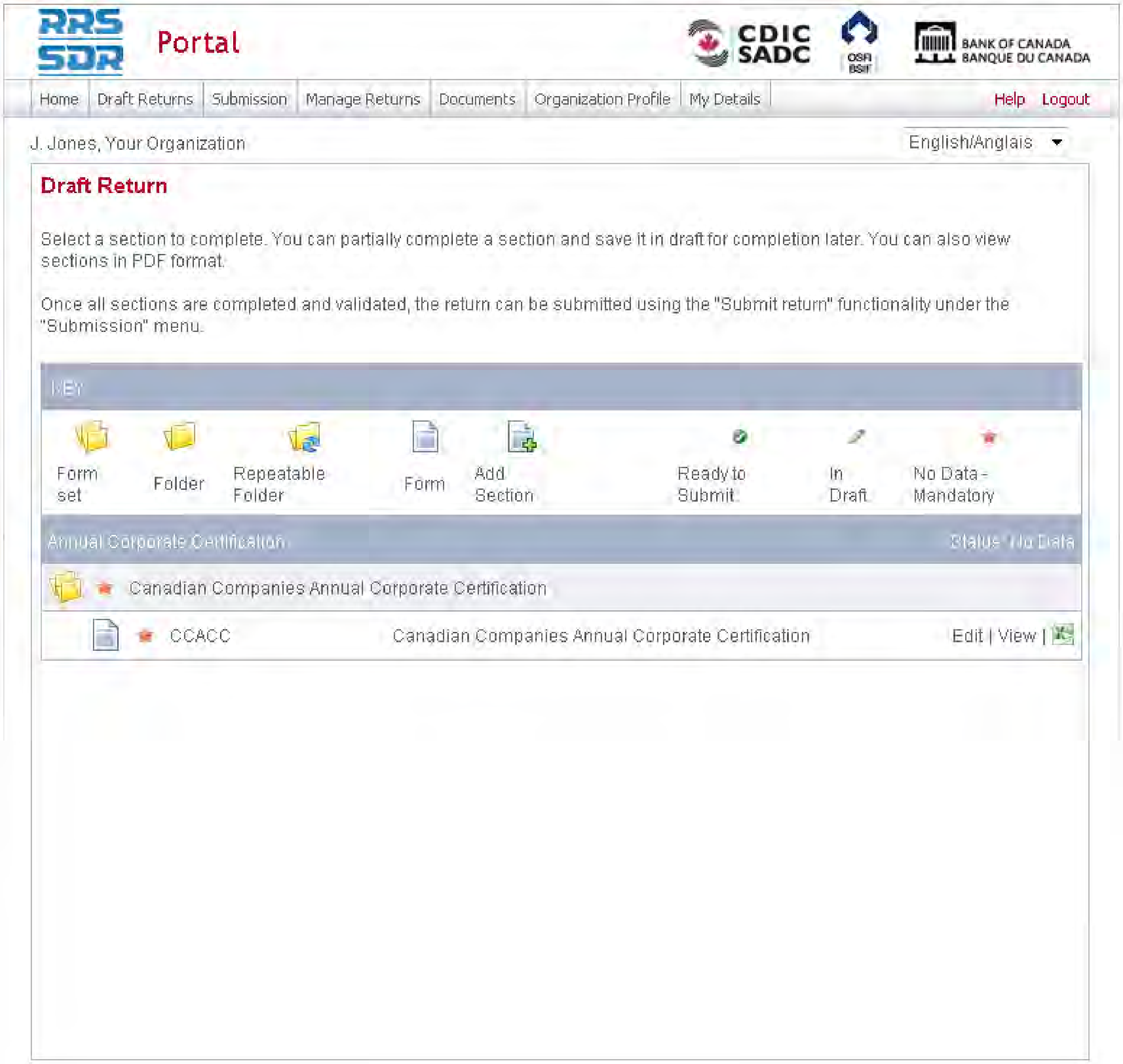

Figure 3-4: Draft Return Page

3. Click the **Edit** link.

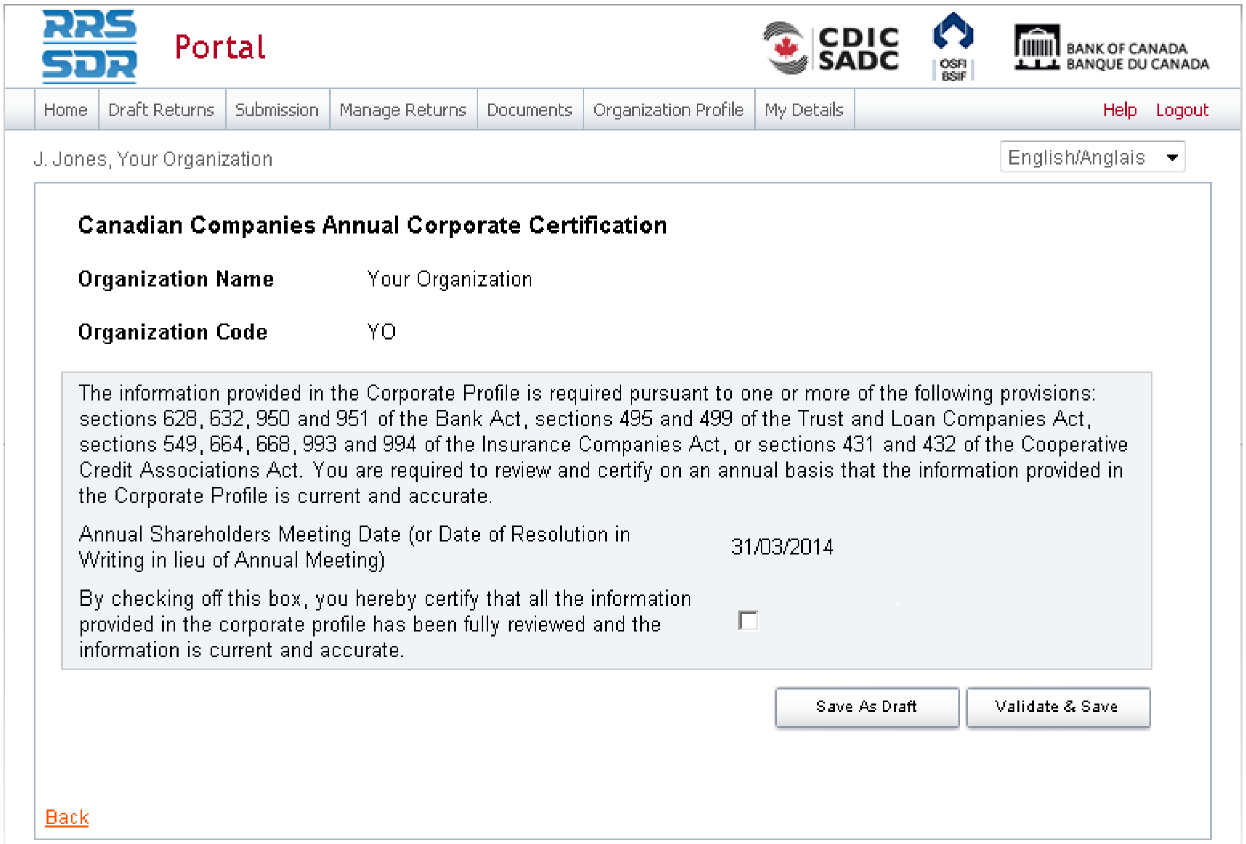

Figure 3-5: Display of Return Page

4. Enter data in the appropriate fields.

5. If necessary, scroll to the bottom right of the return.

At this point the return can be either saved as a draft or validated and saved. Saving a return as a draft leaves it on the Draft Returns page with a status of *In Draft* meaning it has not been validated. Validating and saving the return indicates that the return is complete and ready for attempted submission.

6. Click the **Validate & Save** button.

	If your return fails structural rules:
	A message would have been displayed **on-screen** informing you that there was an issue with the return that would need to be corrected prior to submission. See *Section 3.3* for more information on errors.

7. Hover your mouse over the **Submission** menu item.

Figure 3-6: Submission Menu Drop-Down Page

8. Click the **Submit Return** sub-menu item.

The Submit Return page displays a list of returns that are ready to be submitted.

Figure 3-7: Submit Return Page

9. In the Action column, click the **Submit** link of the return to be submitted.

10. Click **Submit**.

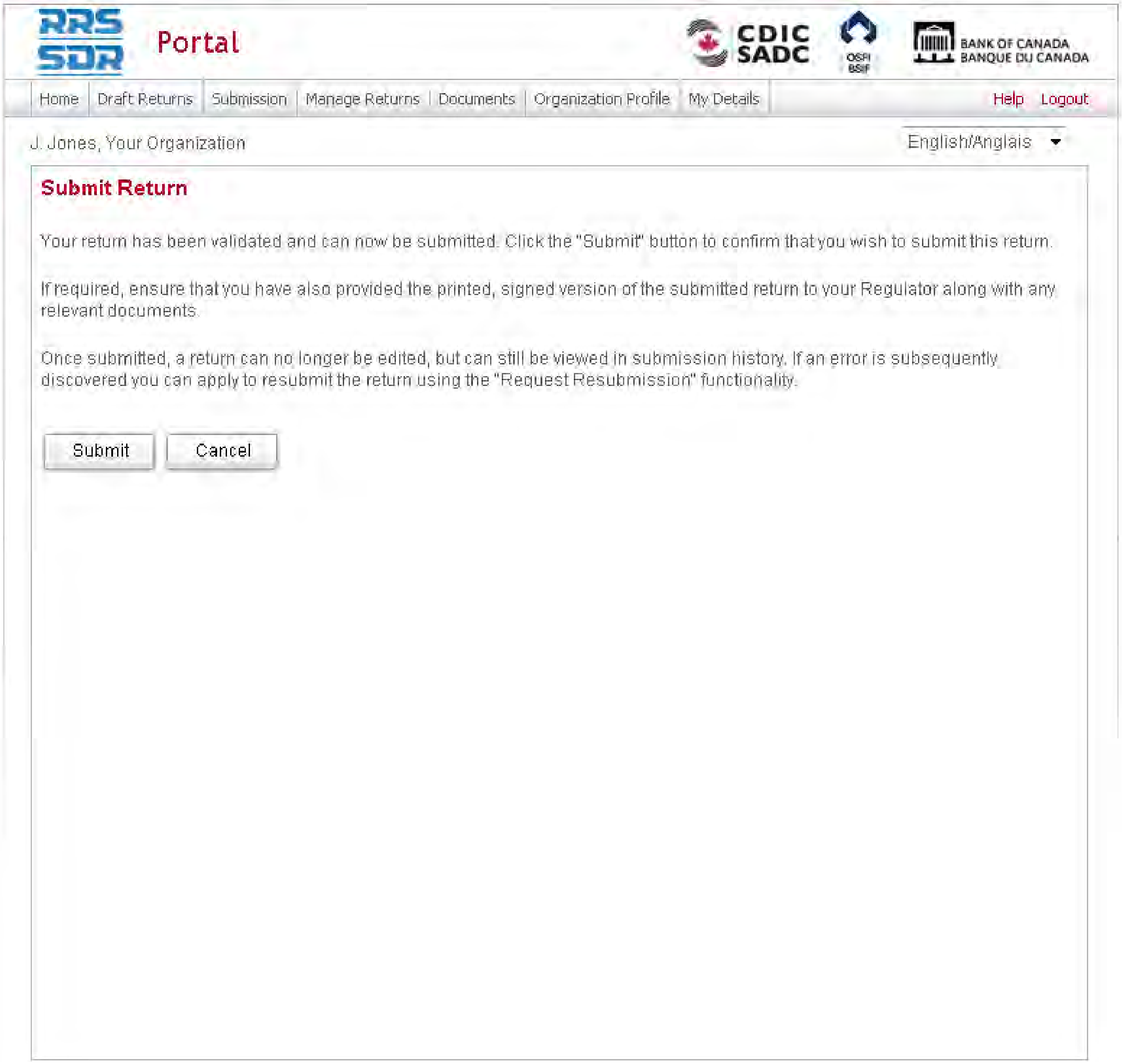

Figure 3-8: Submit Return - Submit Button Page

	If your return fails validation rules:
	A message would have been displayed on-screen informing you that there was an issue with the return that would need to be corrected before it could be processed further. See *Section 3.3* for more information on errors.

3.2 General Instructions on How to View a Return

Returns can be viewed prior to and after being submitted. Use the Draft Returns menu item to view returns that have not been submitted and use the Submission History sub-menu item to view returns that have been submitted. These menu items can also be used to view the Audit Log of a return which is a record of each revision of a completed or in-draft return.

<u>To view a draft return:</u>

Begin at the Welcome page.

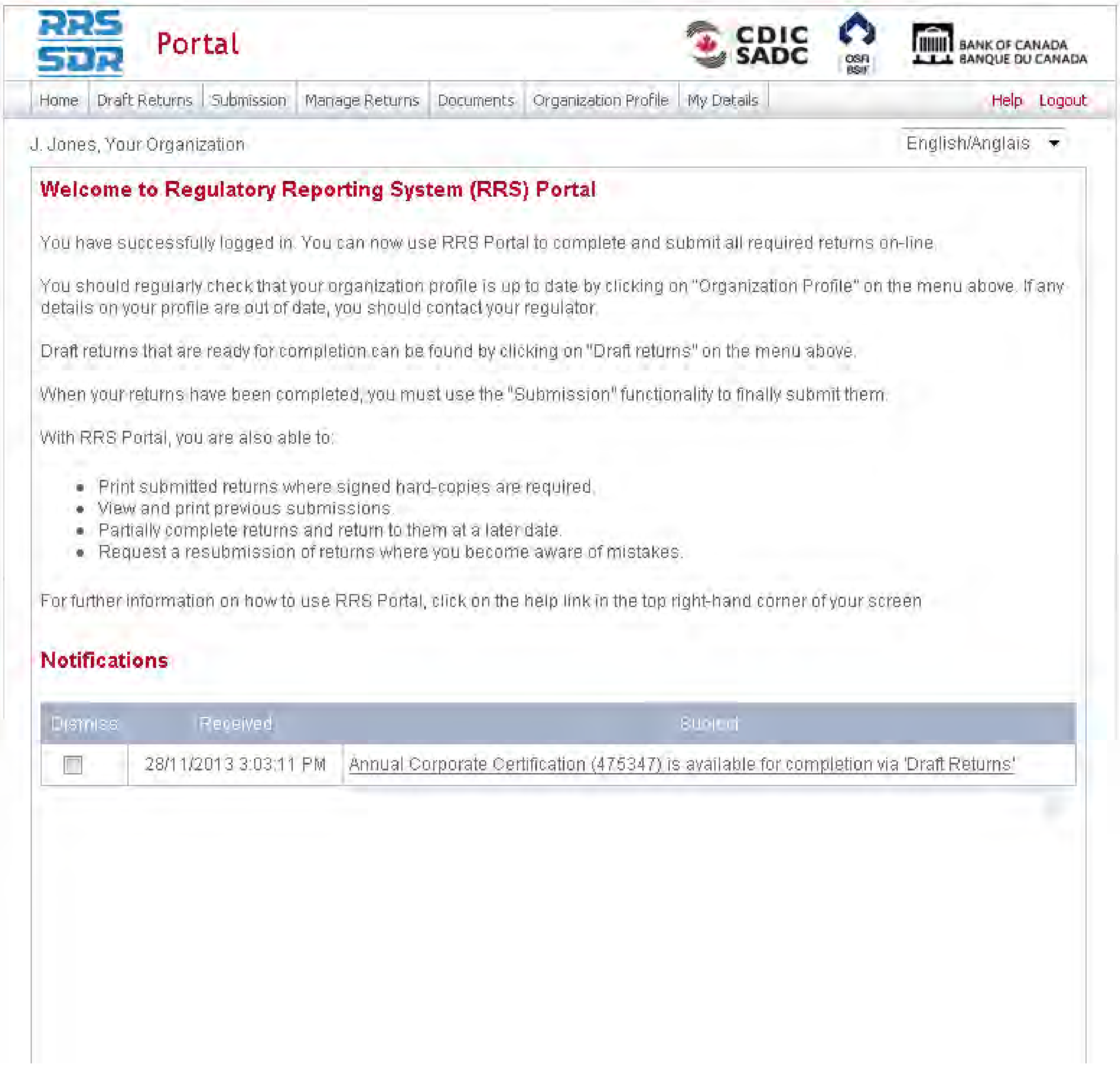

Figure 3-9: Welcome Page

1. Click the **Draft Returns** menu item.

Figure 3-10: Draft Returns Page

2. Click the name of the return to be viewed.

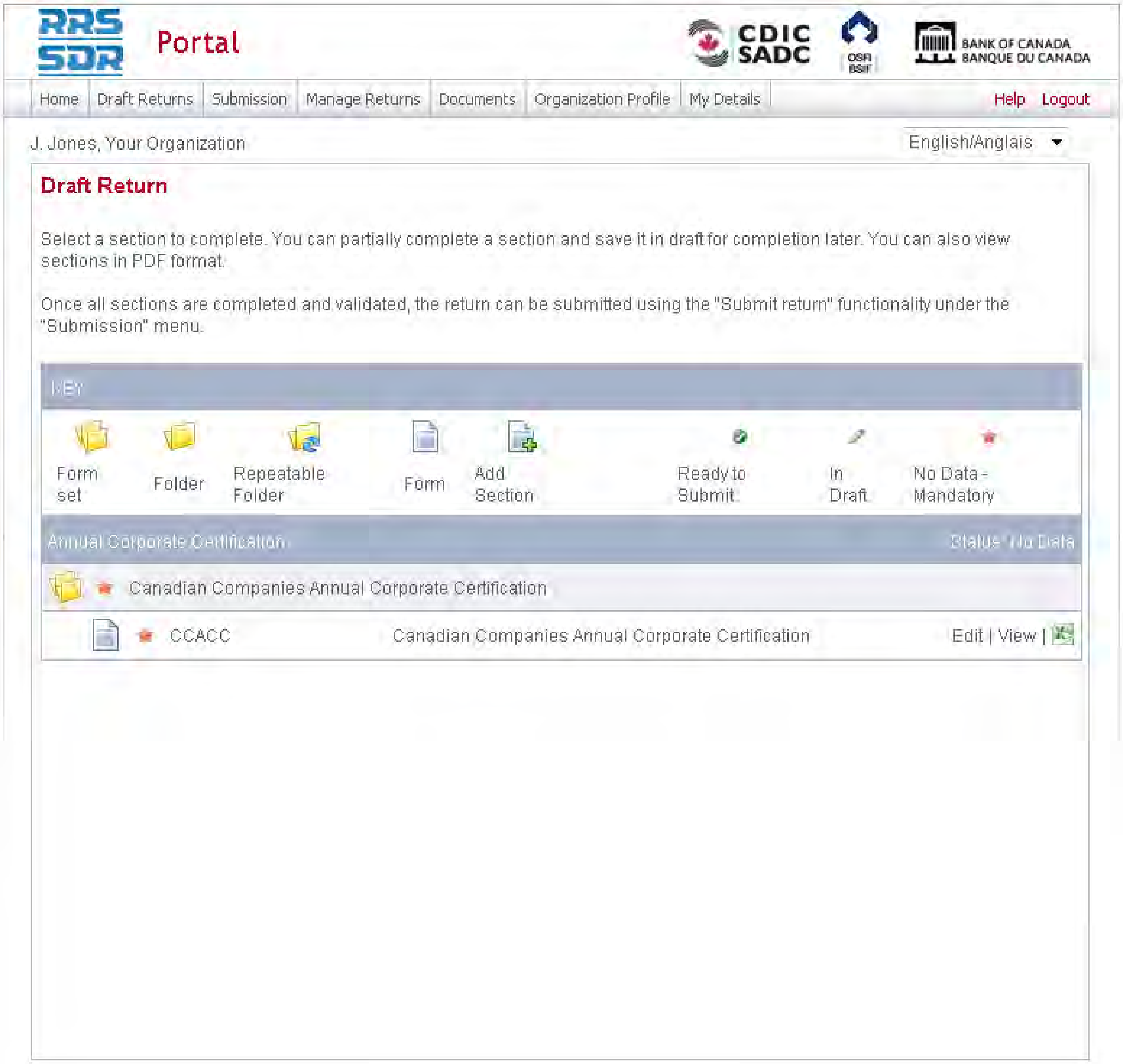

Figure 3-11: Draft Return Page

3. Click the **View** link to view the return, or, if there is more than one return section, click the **View** link for each section to be viewed.

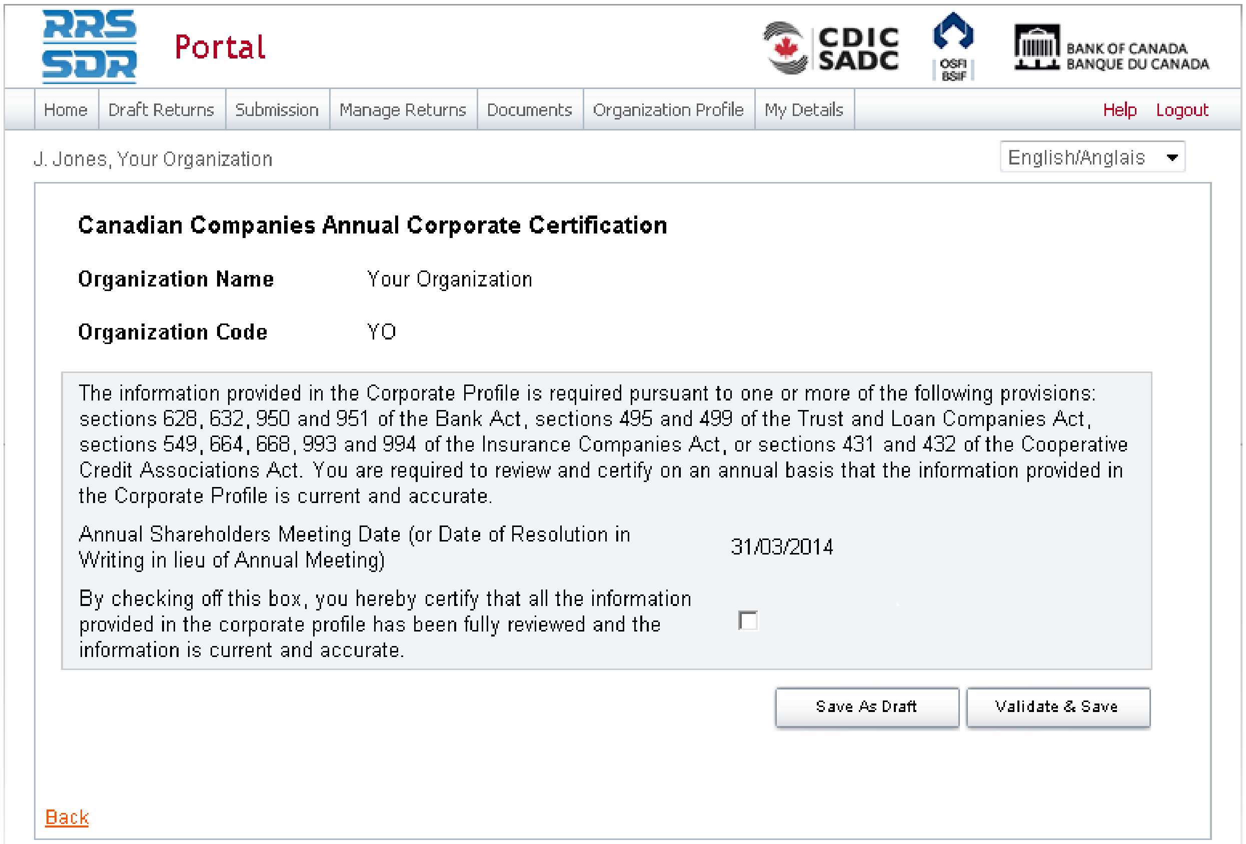

Figure 3-12: Display of Return Page

4. If necessary, use the scroll bars to view the draft return.

To view the audit log of a draft return:

Begin at the Draft Returns page.

Figure 3-13: Draft Returns Page

1. Click the revision number of the return. The View Audit Log page opens displaying information such as what action was taken, who performed the action and when it was done.

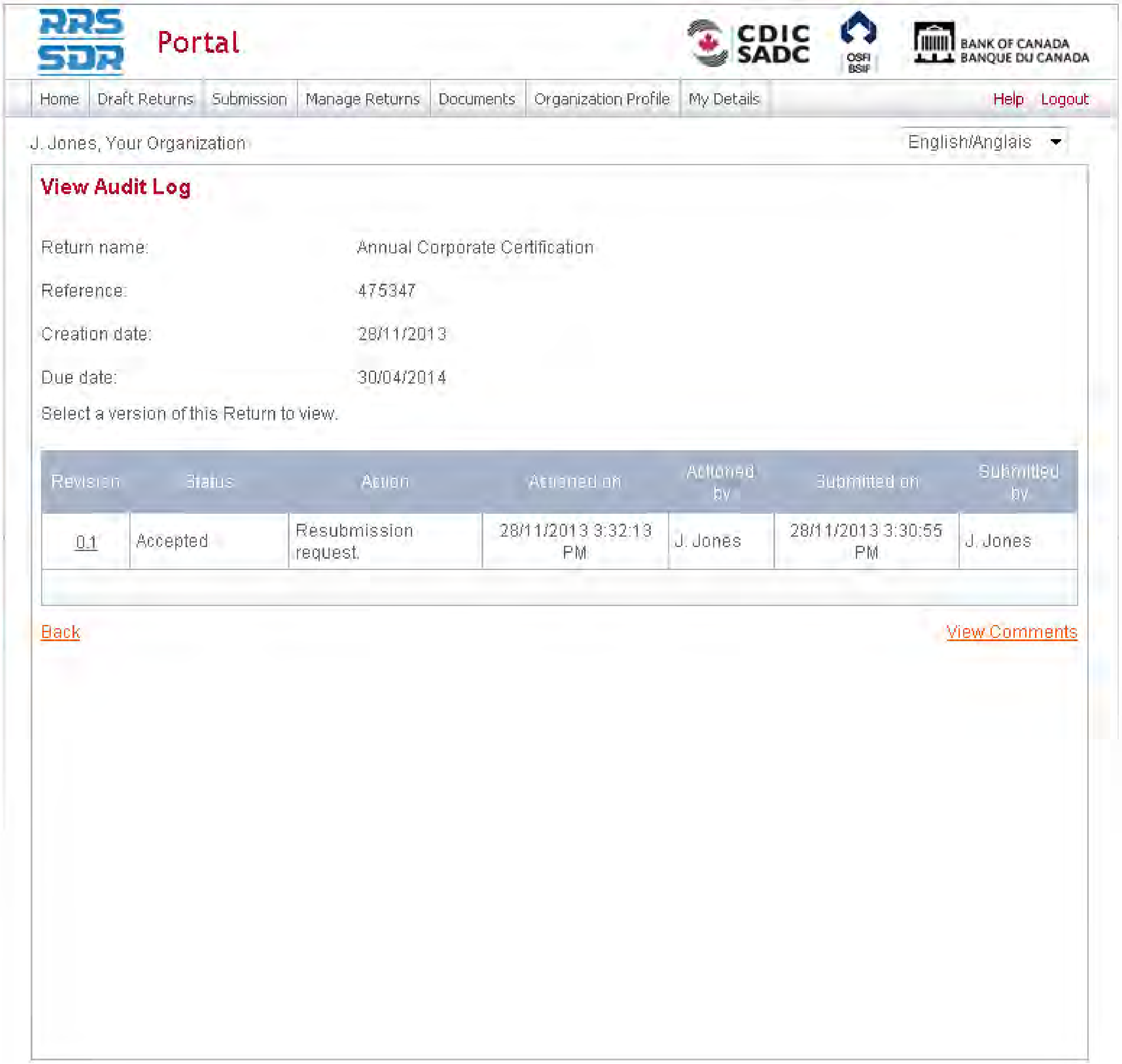

Figure 3-14: View Audit Log Draft Page

To view a submitted return:

Begin at the Welcome page.

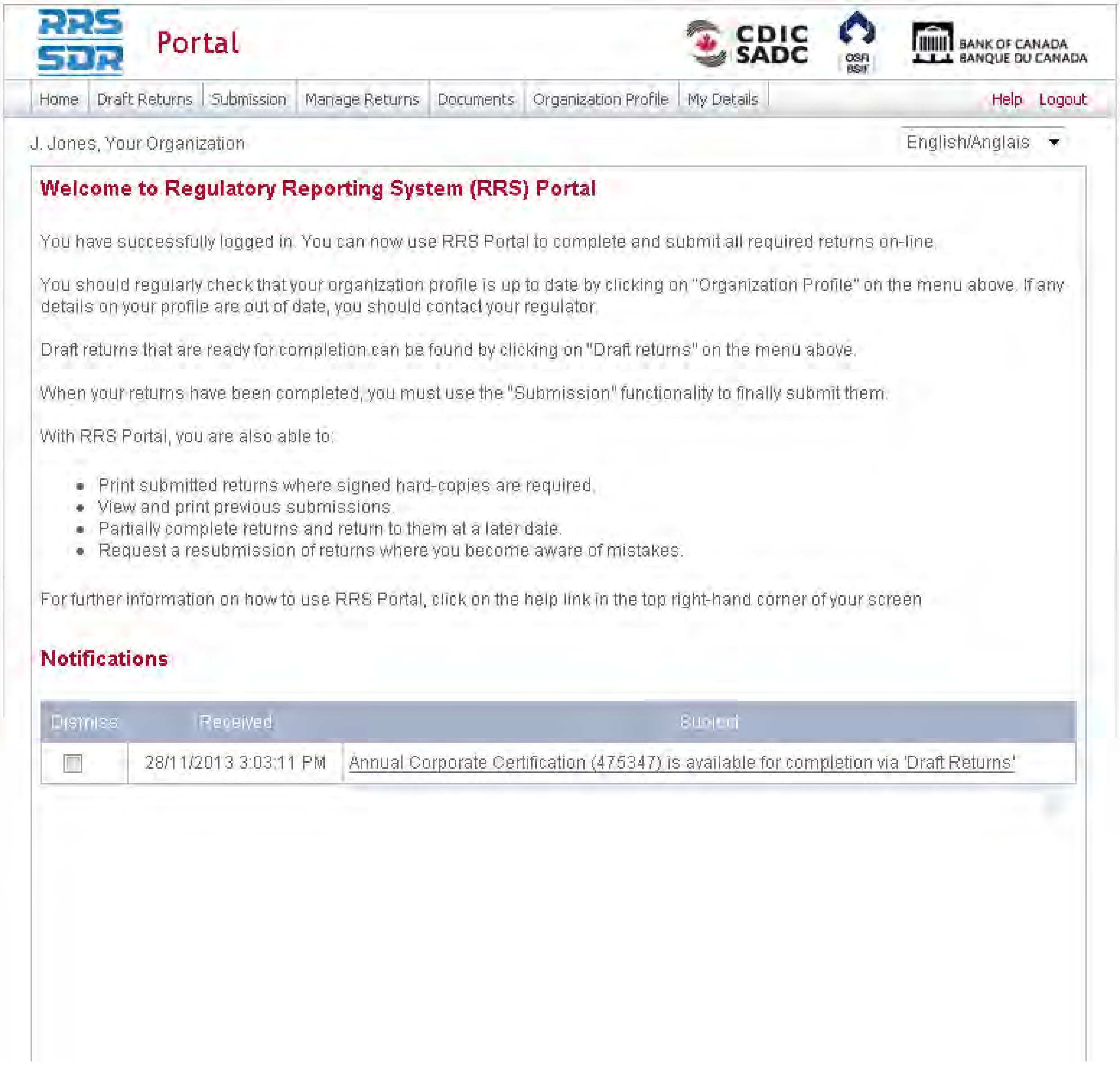

Figure 3-15: Welcome Page

1. Hover your mouse over the **Submission** menu item.
2. Click the **Submission History** sub-menu item.

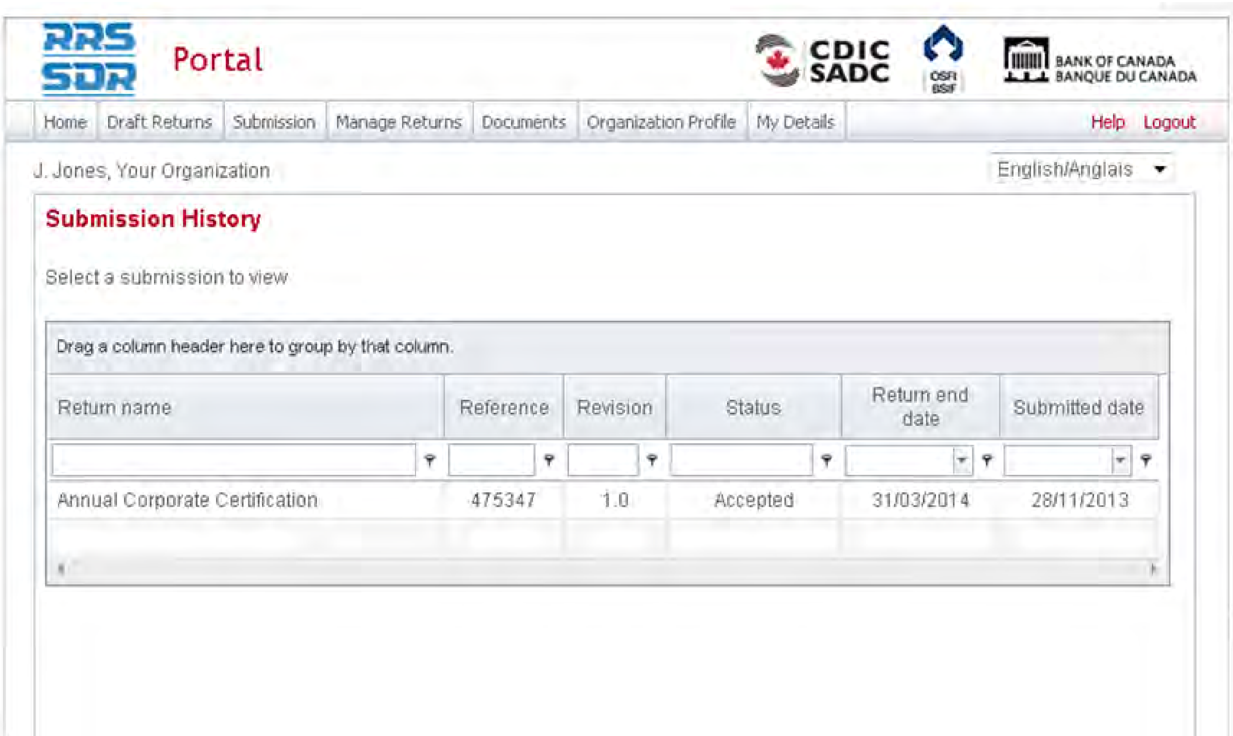

Figure 3-16: Submission History Page

	Return Revision
	The revision column of the Submission History page displays the current revision number of the return. Submitted returns display on this page as revision 1.0 for the first submission and each subsequent submission increases by a whole number such as 2.0, 3.0, etc.

3. Click the name of the return to be viewed.

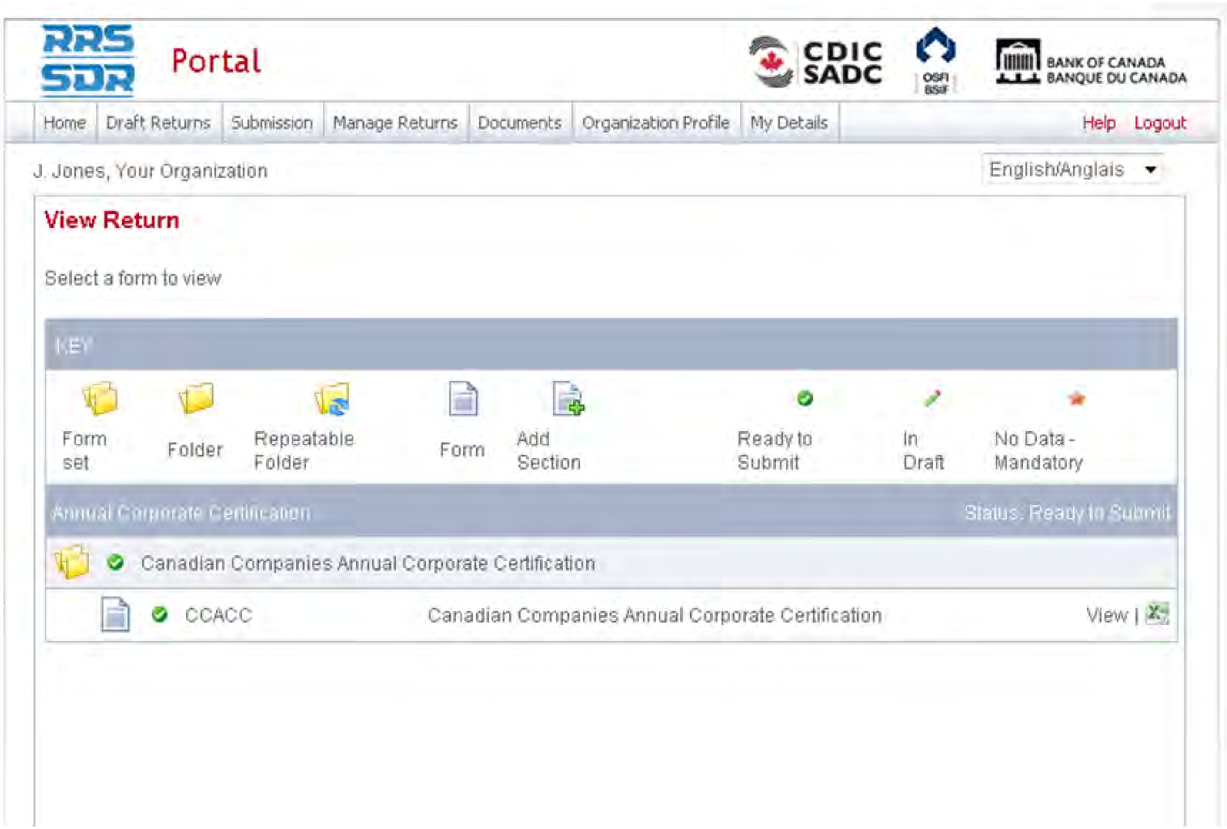

Figure 3-17: View Return Page

4. Click the **View** link to view the return, or, if there is more than one return section, click the **View** link for each section to be viewed.

5. If necessary, use the scroll bars to view the submitted return.

To view the audit log of a submitted return:

Begin at the Submission History page.

1. Click the revision number of the return. The Audit Log page opens displaying information such as what action was taken, who performed the action and when it was done.

Figure 3-18: View Audit Log Submit Page

	Request Return Resubmission
	Request Resubmissions are only permitted with Corporate Returns that do not affect your Organization Profile. To correct any errors on a previously submitted corporate return, please contact the Returns Administration group at OSFI at (613) 991-0609 for assistance in correcting submitted corporate information.

3.3 General Instructions on How to View Errors

To view errors:

Begin at the Welcome page.

1. Click the **Draft Returns** menu item.

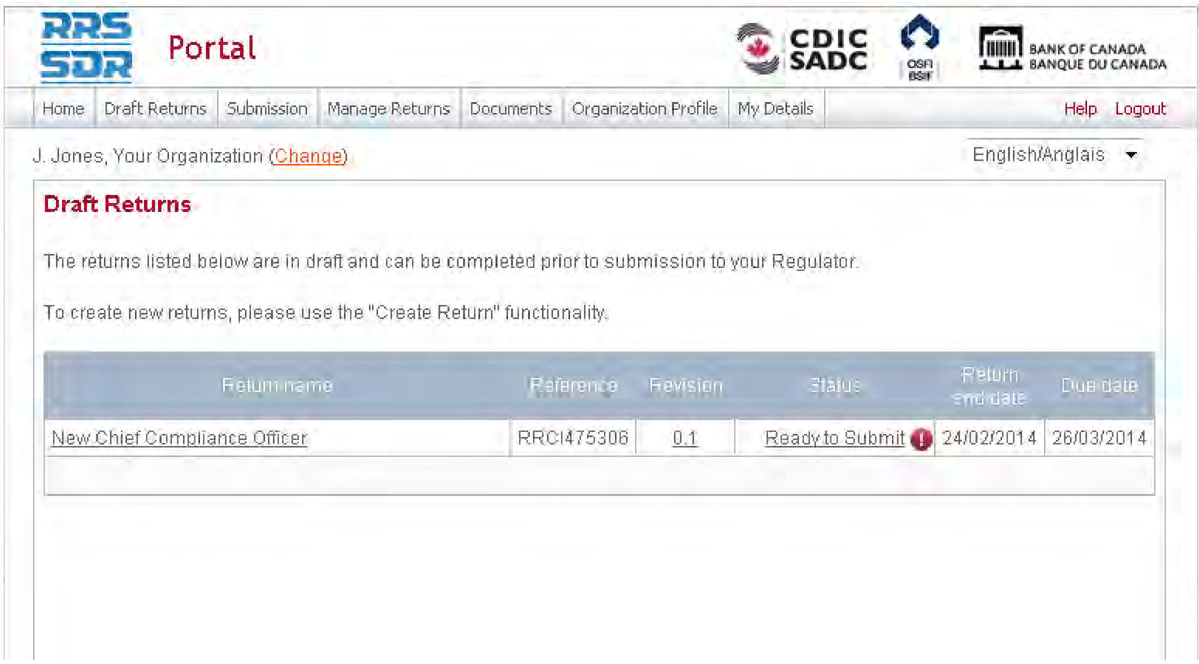

Figure 3-19: Draft Returns Page

2. Locate a return with an error icon next to the status (red circle with an exclamation mark)

3. Click the error icon or the status to open the **Validation Issues** page.

Figure 3-20: Validation Issues Page

4. View the error message.

	Warnings
	Warnings will not prevent you from submitting your return, it is simply a warning to advise you that you are either making a change to a mandatory role or that one of your mandatory roles is missing from your Organization Profile.

3.4 General Instructions on How to Correct Validation Errors on a Return

If a return does not pass validation, you will be informed via an error message that displays on-screen. The error message specifies the rule, or rules, that have failed. You will need to correct the data in order to submit the return.

Begin at the Draft Returns page.

Figure 3-21: Draft Returns Page

1. Click the return name to open the return.

Figure 3-22: Draft Return Page

2. Click the **Edit** link.

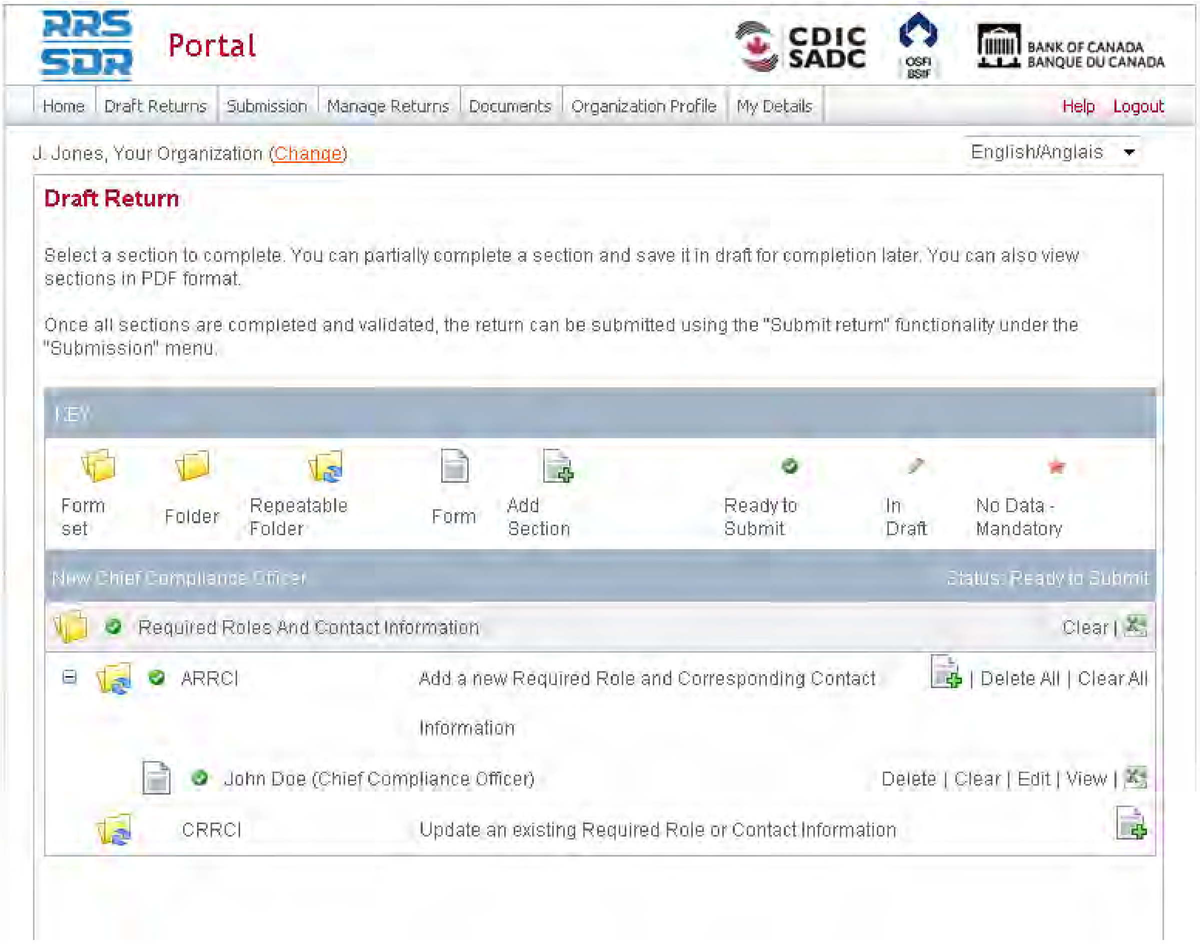

Figure 3-23: Display of Return Page

3. Correct the appropriate data.
4. Click **Validate & Save**. The return is updated and now ready to be re-submitted.
5. Follow the steps outlined in Section 3.1 to submit this return.

3.5 General Instructions on How to Create a Corporate Return

As described at the beginning of this section, Scenario #2 details an event that triggers the need for a corporate return to be created by your organization or plan and submitted. An example of this is event is a change in your organization's business mailing address.

<u>To create a corporate return:</u>

Begin at the Welcome page.

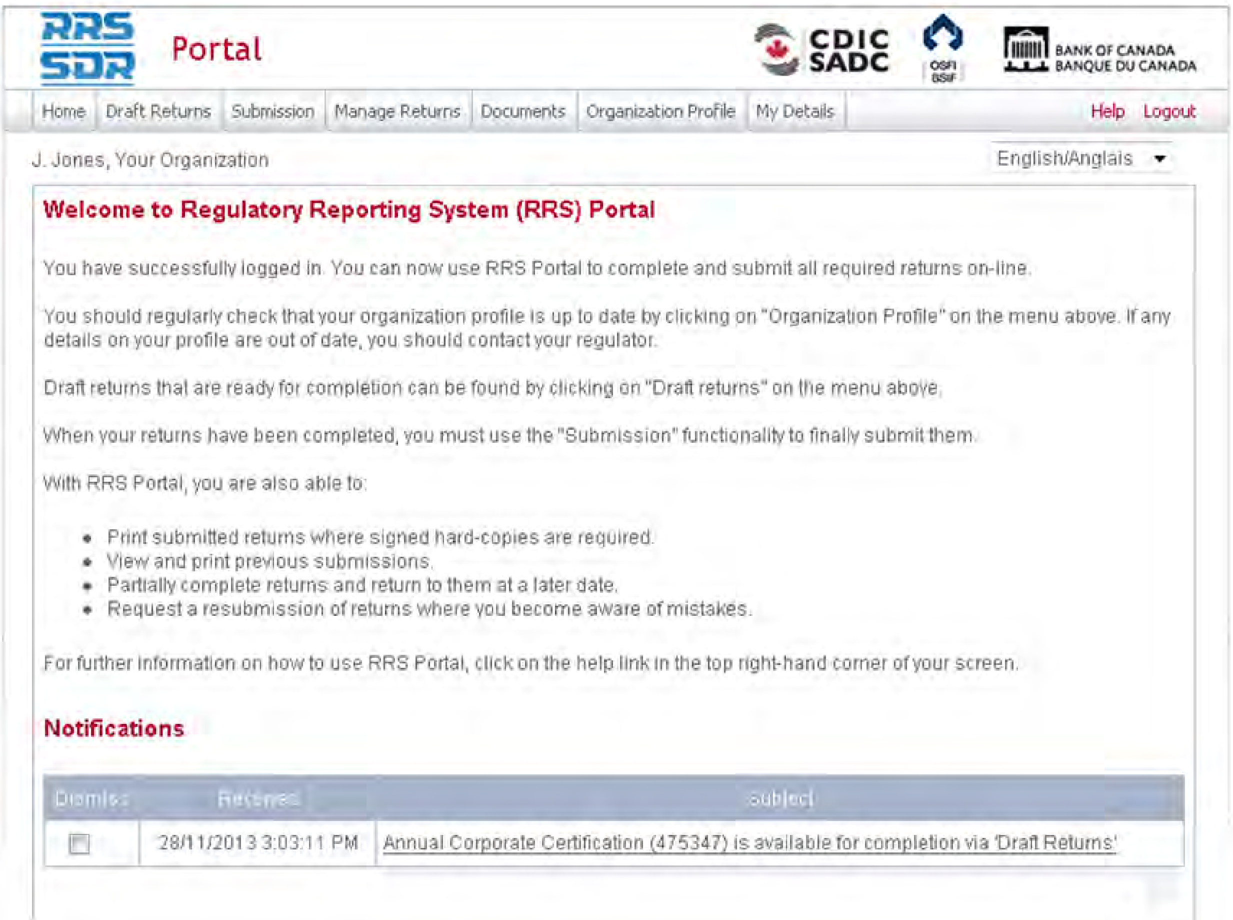

Figure 3-24: Notifications Page

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

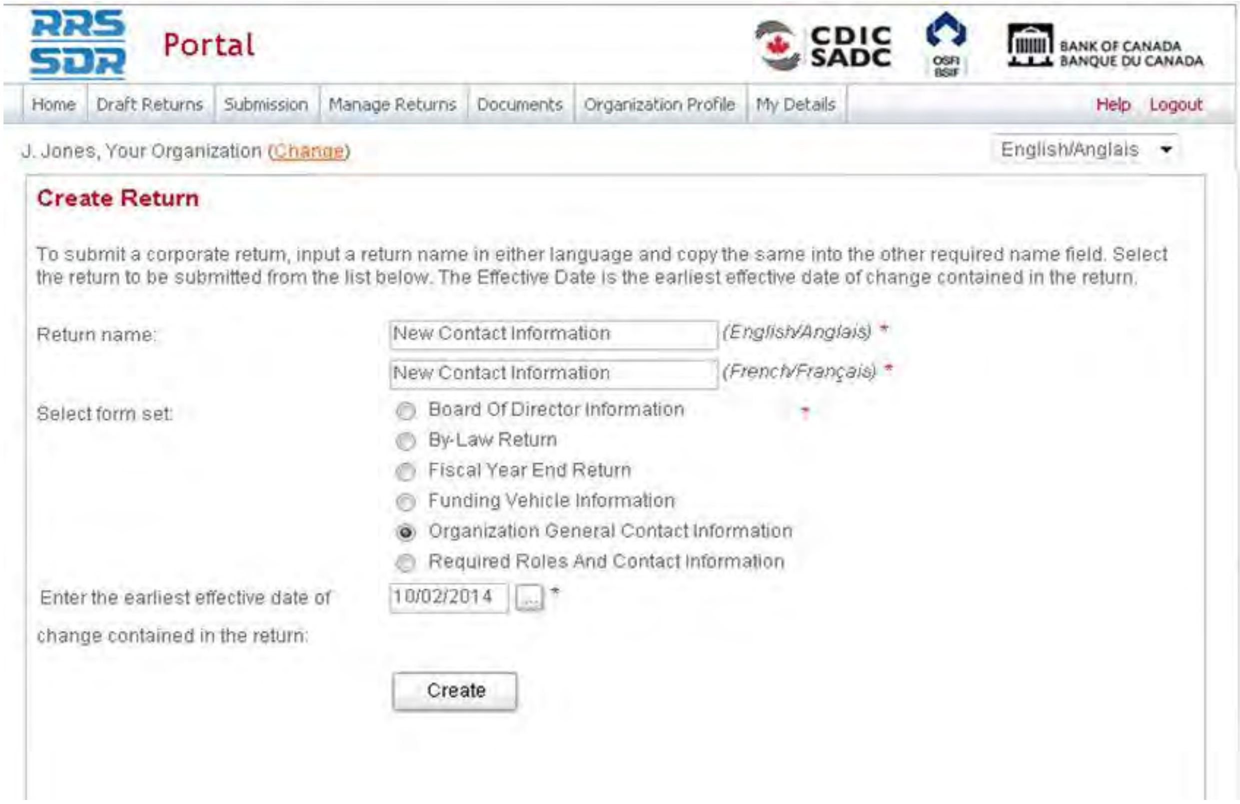

Figure 3-25: Create Return Page

	Return Name
	You will want to choose a name that will be meaningful for you or your organization. The text does not need to be bilingual, but it does need to be entered in both the English and French text fields. This name will also be referred to when looking for returns under your submission history tab.

3. Enter an English and French name for the return (see example above).
4. Select the appropriate corporate return that you want to create for your organization or plan.
5. Enter the earliest effective date of change.
6. Click the **Create** button.

	Earliest effective date of change
	Where multiple changes are being made within the same return, **you must enter the earliest effective date of change of all of the changes being made**. The system will not accept earlier dates within the return than the date you entered when creating your return.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

Figure 3-26: Draft Returns Page

Follow the steps outlined in Section 3.1 to submit this return.

	Note:
	For any changes to contact information, addresses must all be in uppercase letters and may not contain any special characters, telephone/fax numbers must not contain any dashes and email addresses must not contain any invalid characters, as per the [Canada Post Guidelines]().

3.6 General Instructions on How to Delete a Corporate Return

Corporate returns that have been created in error can be deleted prior to submission.

	Note:
	Once a corporate return has been submitted and accepted, that return can no longer be deleted. In order to delete a submission, please contact the Returns Administration group at OSFI at 613-991-0609.

To delete a draft corporate return:

Begin at the Draft Return page.

1. Hover your mouse over the Manage Returns menu item.

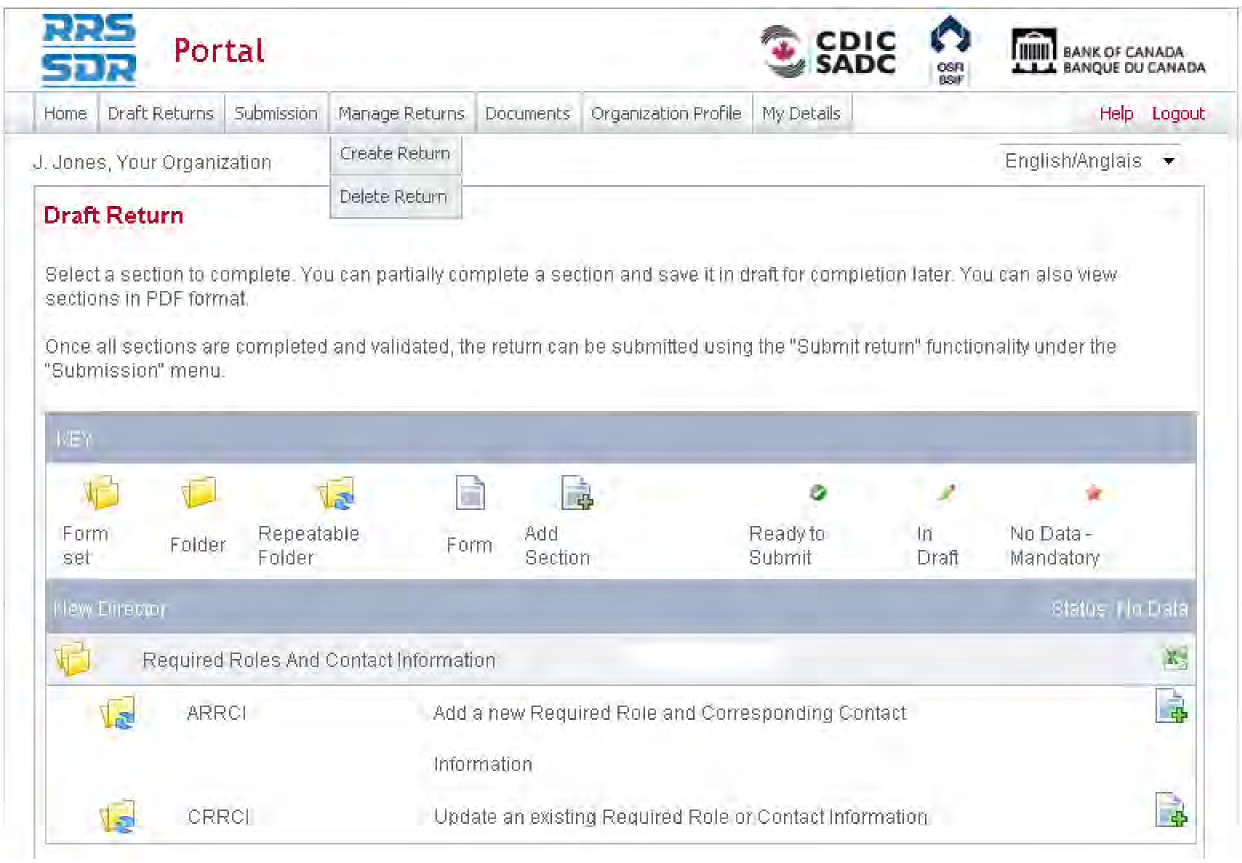

Figure 3-27: Manage Returns Drop-Down Page

2. Click **Delete Return**.

Figure 3-28: Delete Return Page

3. In the Action column, click the **Delete** link of the return to be deleted.

Figure 3-29: Delete Return Confirm Page

4. Click the **Confirm** button.

The return has now been deleted.

3.7 General Definitions for Each Return Type

For each of the returns listed below, a definition and explanation is provided.

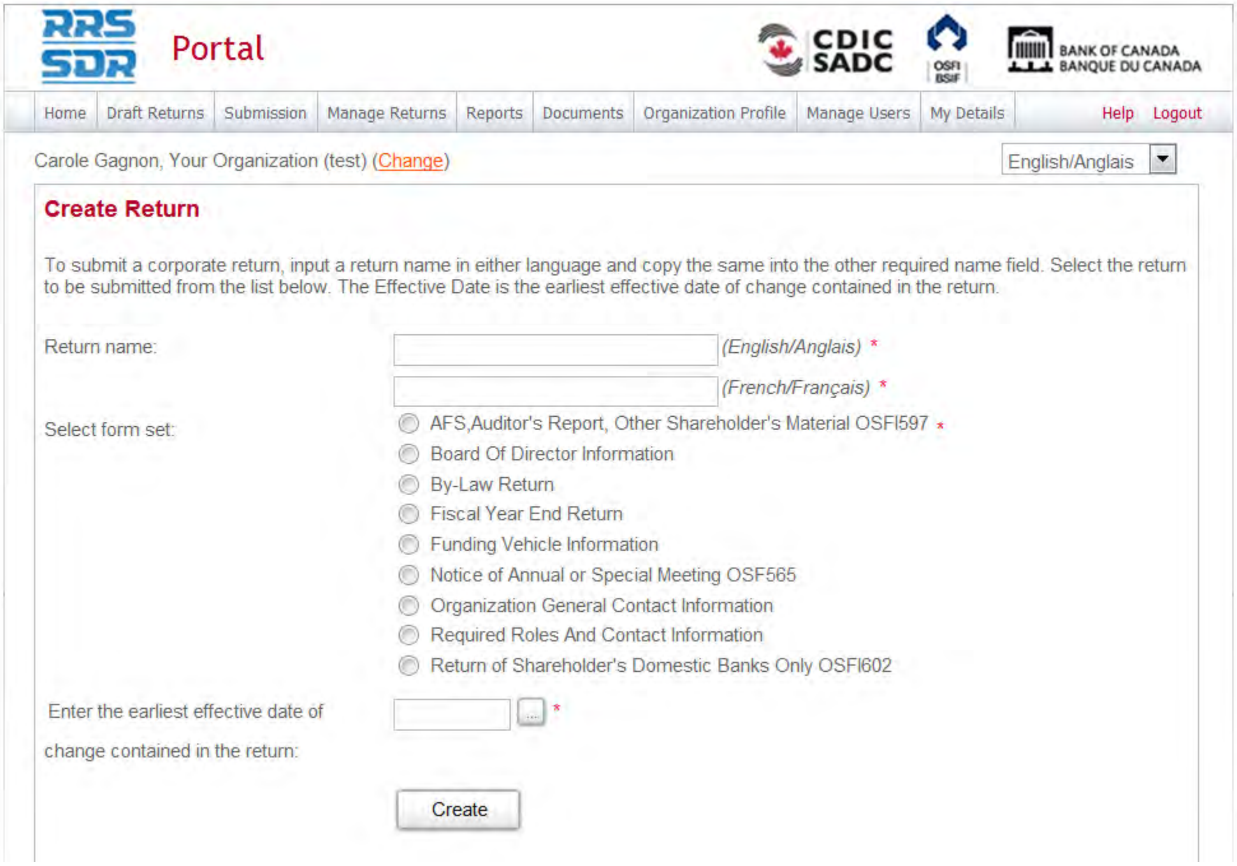

Figure 3-30: Creat Return Page

3.7.1 AFS, Auditor's Report, Other Shareholder's Material (OSFI-597)

This return only applies to Canadian Domestic Banks and Foreign Bank Subsidiaries, Canadian Life and Property & Casualty Insurance Companies, Credit Union Centrals, Trust and Loan Companies, Co-operative Retail Associations and Foreign Representative Offices.

This return should be used to submit any and all shareholder documentation that must also be submitted to OSFI. This return is based on the Annual General Meeting (AGM) Date; due -15 days prior to the AGM date or if AGM is held by Resolution in Writing then due +30 days from Resolution date.

This return is also used by Foreign Representative Offices (FROs) to submit their Audited Financial Statement with OSFI. For FROs, this return is based on manual entry and is due upon receipt of the document.

This return is not subject to LFP penalties.

3.7.2 Board of Director Information (OSFI-656)

This return only applies to Canadian Domestic Banks and Foreign Bank Subsidiaries, Canadian Life Insurance Companies, Canadian Fraternal Benefit Societies, Canadian Property & Casualty Insurance Companies, Credit Union Centrals, Trust and Loan Companies, and Co-operative Retail Associations.

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the *Bank Act*, sections 495 and 499 of the *Trust and Loan Companies Act*, sections 549, 664, 668, 993 and 994 of the *Insurance Companies Act*, or sections 431 and 432 of the *Cooperative Credit Associations Act*.

The Board of Directors, their Affiliate and Non-Affiliate information and the committees of the Board of the Financial Institution provided within the Board of Director Information Return are part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the *Privacy Act* allows this information to be disclosed to the public.

All other information (Director's status as an Affiliated Person) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the *Privacy Act* and the A*ccess to Information Act*. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

The purpose of this return is to provide the country of citizenship, the board committee membership, the affiliation type, affiliate and non-affiliate details as well as the director type for each director and chairperson of the board.

This return is based on any and all changes made either at board meetings or information changes throughout the year. This return is due within 30 days of the effective date of change.

This return is subject to LFP penalties.

3.7.3 By-Law Return (OSFI-599)

This return only applies to Canadian Domestic Banks and Foreign Bank Subsidiaries, Canadian Life Insurance Companies, Canadian Property & Casualty Insurance Companies, Credit Union Centrals, Trust and Loan Companies, and Co-operative Retail Associations.

This return is based on by-law changes made at board meetings throughout the year. This return is due within 30 days of the effective date of change.

This return is subject to LFP penalties.

3.7.4 Fiscal Year End Return (OSFI-596)

This return applies to all Federally Regulated Financial Institutions, Foreign Representative Offices and Private Pension Plans.

This return should only be used if a change in your current fiscal year end occurs.

This return also requires OSFI approval.

This return is not subject to LFP penalties.

3.7.5 Funding Vehicle Information

This return only applies to Private Pension Plans.

This return should only be used when a change in your funding vehicle occurs.

This return is not subject to LFP penalties.

3.7.6 Notice of Annual or Special Meeting (OSFI-565)

This return only applies to public companies for Canadian Domestic Banks and Foreign Bank Subsidiaries, Canadian Life and Property & Casualty Insurance Companies, Credit Union Centrals, Trust and Loan Companies, and Co-operative Retail Associations.

This return should be used to submit any and all shareholder documentation that must also be submitted to OSFI. This return is based on the Annual General Meeting (AGM) Date; due -15 days prior to the AGM date.

This return is subject to LFP penalties.

3.7.7 Organization General Contact Information (OSFI-657)

This return applies to all Federally Regulated Financial Institutions (FRFIs), Foreign Representative Offices (FROs) and Private Pension Plans (PPPs).

This return should be used to submit any changes to your organization's general business mailing address, general telephone and fax numbers, general and emergency email addresses. This return should also be used to change your preferred language and organization's website address. **All fields** located under this return are **mandatory** fields. This return also requires a mandatory general email address for the organization within your organization profile.

For all FRFIs, this return should be also be used to provide the other general details located under the General Details (FRFI) section of your organization profile.

For FROs, this return should also be used to provide your number of employees.

This return is subject to LFP penalties for FRFIs only.

3.7.8 Required Roles and Contact Information (OSFI-658)

This return applies to all Federally Regulated Financial Institutions (FRFIs), Foreign Representative Offices (FROs) and Private Pension Plans (PPPs).

The information provided in the Corporate Profile is required pursuant to one or more of the following provisions: sections 628, 632, 950 and 951 of the *Bank Act*, sections 495 and 499 of the *Trust and Loan Companies Act*, sections 549, 664, 668, 993 and 994 of the *Insurance Companies Act*, or sections 431 and 432 of the *Cooperative Credit Associations Act*.

The name and address of the Audit Firm(s) of the Financial Institution provided within the Required Roles and Contact Information Return is part of the public register required by governing legislation to be maintained by the Superintendent of Financial Institutions and therefore, the *Privacy Act* allows this information to be disclosed to the public.

All other information (Board of Director's residential address, the name of the Designated Audit Partner and all Functional Appointments) provided is protected and is deemed to be personal information.

The personal information you provide to OSFI will be stored in the Personal Information Bank (PIB) (to be registered with Treasury Board Secretariat). Individuals have a right to protection of and access to their personal information stored in each corresponding PIB in accordance with the *Privacy Act* and the A*ccess to Information Act*. Details on these matters are available at the Infosource website (http//infosource.gc.ca) and through the OSFI Call Centre. Info source is also available at public libraries across Canada.

The purpose of this return is to provide the full name and salutation of each individual or related organization, their associated role and their complete contact information.

All fields located under this return are **mandatory** fields. This return also requires a mandatory email address for each individual or related organization being added to your organization profile.

This return must be used to submit changes to any and all individuals, related organizations and other roles within your organization profile. For example, adding new individuals/related organizations, deleting (removing) individuals/related organizations from your profile or updating existing information. This return must also be used for updating all contact information related to individuals and related organizations.

This return is subject to LFP penalties for FRFIs only.

3.7.9 Return of Shareholders (OSFI-602)

This return only applies to Canadian Domestic Banks.

This return is based on the Annual General Meeting (AGM) date and is due within 60 days of the AGM date.

This return is not subject to LFP penalties.

3.7.10 OTHER: Annual Corporate Certification

This return is a return that will be scheduled by OSFI on a yearly basis. At the beginning of your organization's fiscal year, this return will appear in your Draft Returns folder.

This return must be used to certify on a yearly basis that you have reviewed and updated as appropriate all the corporate information located under your Organization Profile.

For Canadian FRFIs, this return is also used to provide your Annual General Meeting (AGM) Date, which will update your Annual Board Meeting Dates. This return is due within 30 days of the AGM date.

For Foreign branches and Foreign Representative Offices, this return is based on your fiscal year end date and is due within 60 days after the fiscal year end.

For Private Pension Plans, this return is based on your fiscal year end date and is due within 6 months after the fiscal year end.

This return is not subject to LFP penalties.

3.7.11 OTHER: Report of the Conduct Review Committee (OSFI-598)

This return is a return that will be scheduled by OSFI on a yearly basis. At the beginning of your organization's fiscal year, this return will appear in your Draft Returns folder.

This return only applies to Canadian Domestic Banks and Foreign Bank Subsidiaries, Canadian Life and Property & Casualty Insurance Companies, Credit Union Centrals, Trust and Loan Companies, and Co-operative Retail Associations.

This return is based on your fiscal year end date and is due within 90 days after the fiscal year end.

This return is subject to LFP penalties.

3.7.12 OTHER: Auditor's Report to the Principal Officer (OSFI-601)

This return is a return that will be scheduled by OSFI on a yearly basis. At the beginning of your organization's fiscal year, this return will appear in your Draft Returns folder.

This return only applies to Foreign Bank Branches.

This return is based on your fiscal year end date and is due within 5 months after the fiscal year end.

This return is not subject to LFP penalties.

4.0 Specific Corporate Returns Instructions

This section will provide detailed instructions on the following subjects:

1) How to Add/Update your Organization's General Contact Information
2) How to Add an Individual/Related Organization to your Organization Profile
3) How to Delete an Individual/Related Organization to your Organization Profile
4) How to Add Multiple Roles to an Existing Individual within your Organization Profile
5) How to make changes related to the External Auditor/External Actuary Roles.
6) How to make changes related to the Funding Vehicle and/or Fund Custodian
7) How to make changes related to the Board of Director Information Return

4.1 How to Add/Update your Organization's General Contact Information

Whether you are updating your organization's general contact information or adding new general contact information, you must use the Organization General Contact Information Return.

For all Federally Regulated Financial Institutions (except Foreign Insurance Branches and Foreign Bank Branches), Private Pension Plans and Foreign Representative Offices, a Business Mailing Address must be maintained at all times. This information is used to update OSFI's external website.

For Foreign Insurance Branches and Foreign Bank Branches, a Branch Mailing Address must be maintained at all times. This information is used to update OSFI's external website.

Other address types, such as Head Office Address, can be provided and maintained within your organization profile however it is not a mandatory requirement.

The "Location of Books and Records (CRA) Address" is specifically used by Private Pension Plans only.

All fields are required by OSFI and some fields have been made mandatory.

4.1.1 How to Add an Organization General Contact Information

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

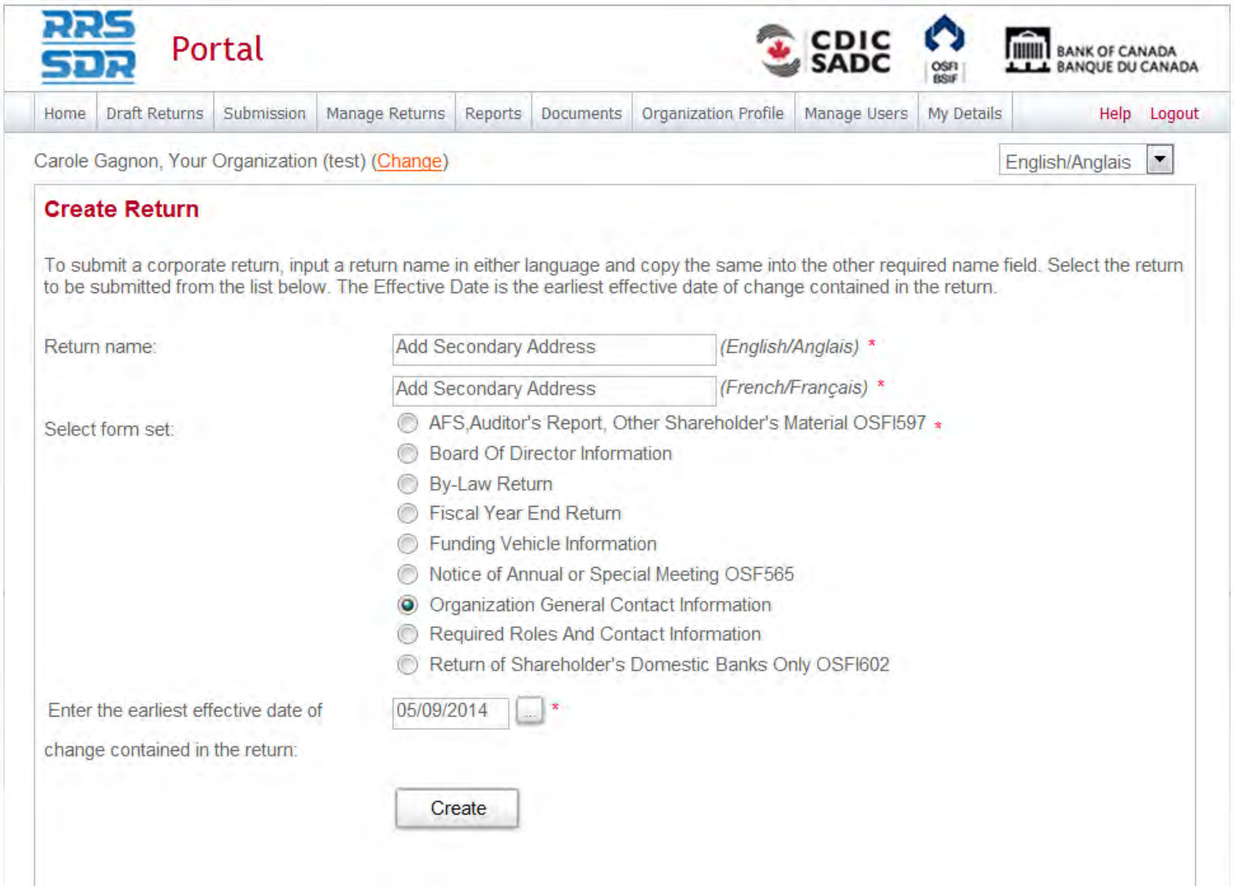

Figure 4-1: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Organization General Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

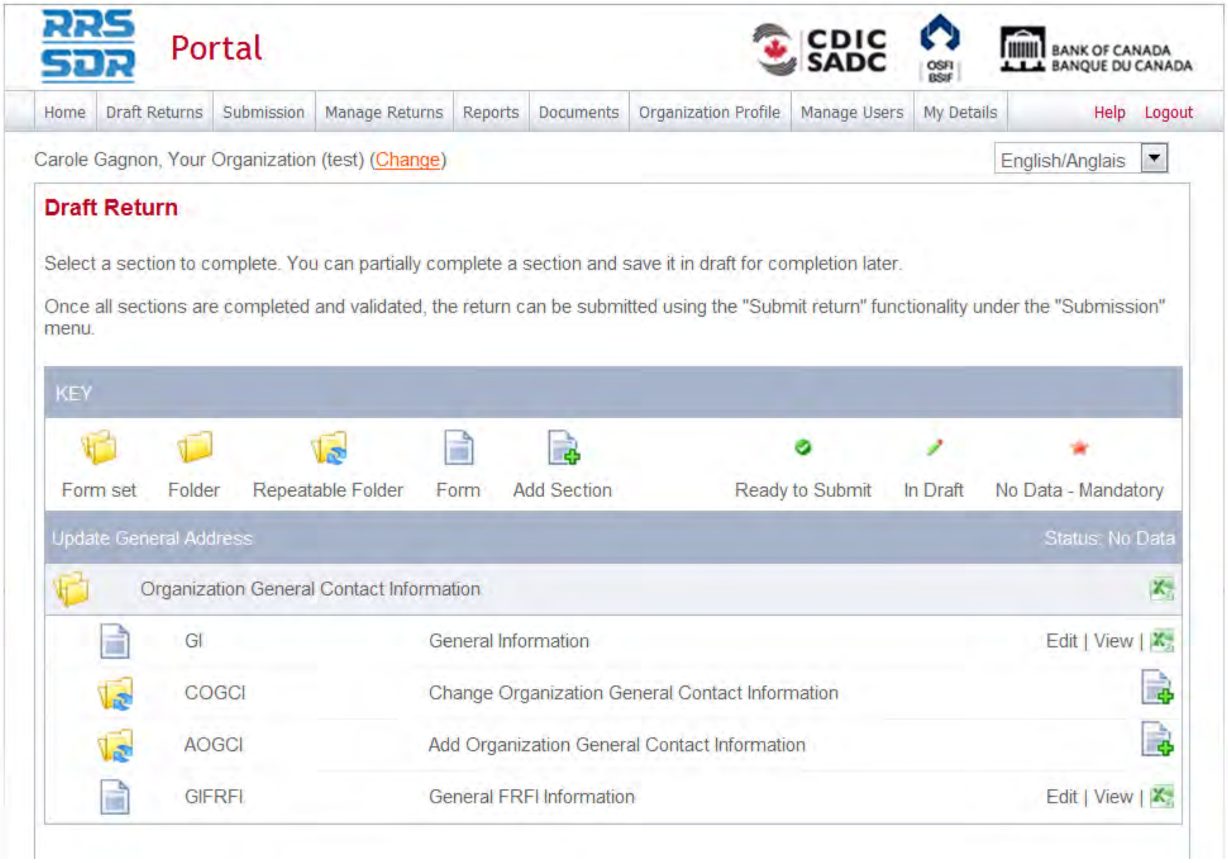

Figure 4-2: Draft Return Page

8. Click on the "Add Instance" button on the right hand side next to "Add Organization General Contact Information"
9. This will open a new worksheet within this section of the return.

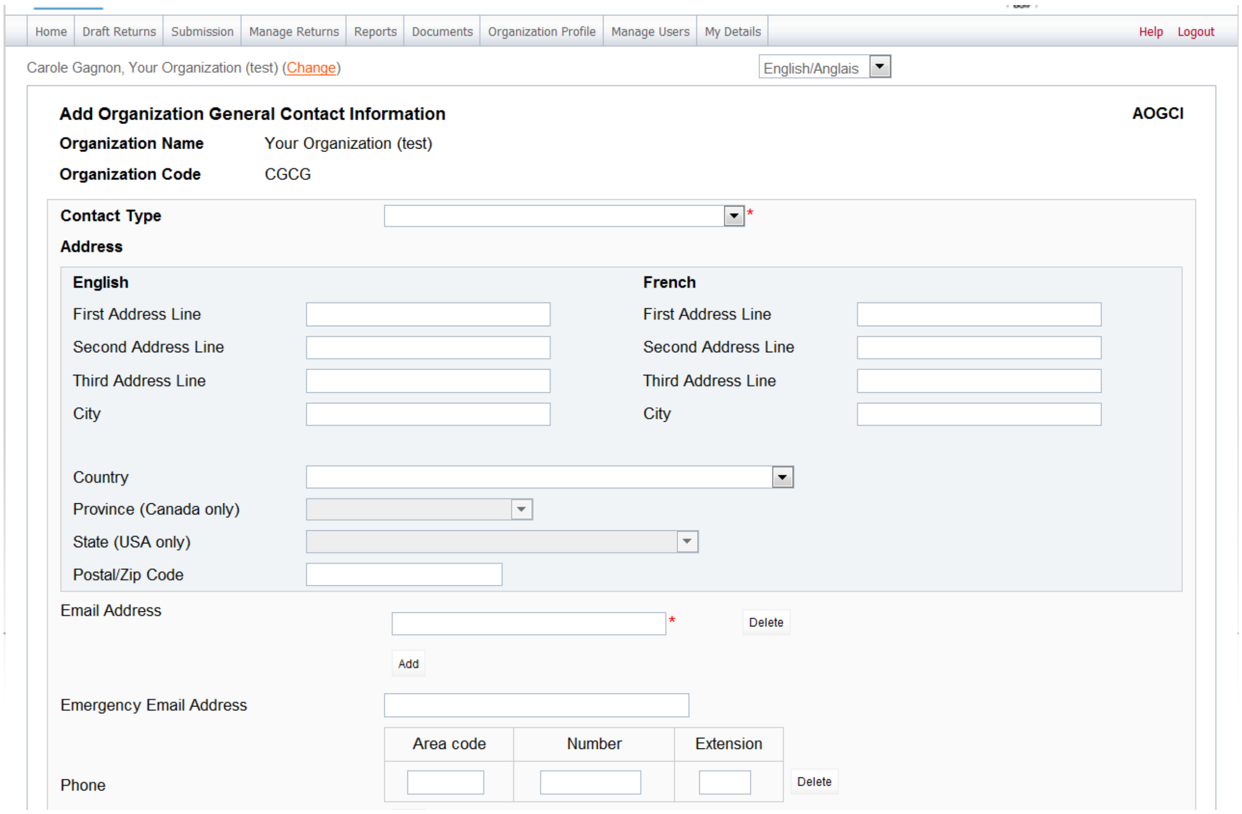

Figure 4-3: Add Organization General Contact Information Page

10. Under Contact Type, choose appropriate contact type you wish to Add.
11. Provide the complete mailing address. A province must be provided when "Canada" is chosen as the Country and a state must be provided when "USA" is chosen as the Country.
12. Provide a general email address for the organization.
13. Provide an emergency email address if one is available.
14. Provide a general Telephone and Fax Number for the organization.
15. You can now click on the "Validate and Save" button.
16. Your return is now ready to be submitted.
17. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.1.2 How to Update your Organization General Contact Information

When updating your general contact information, all related information must be provided as this return will replace all information located within your organization profile.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

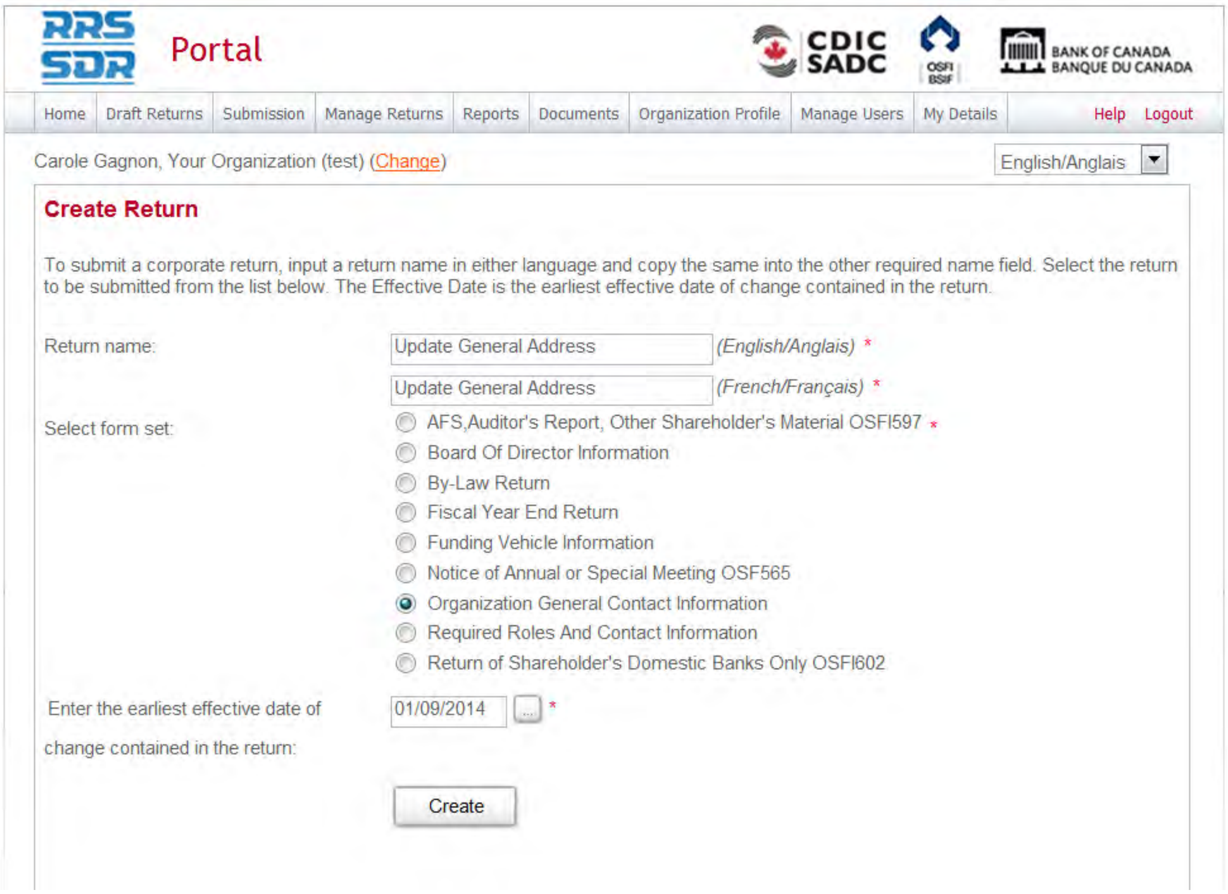

Figure 4-4: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Organization General Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

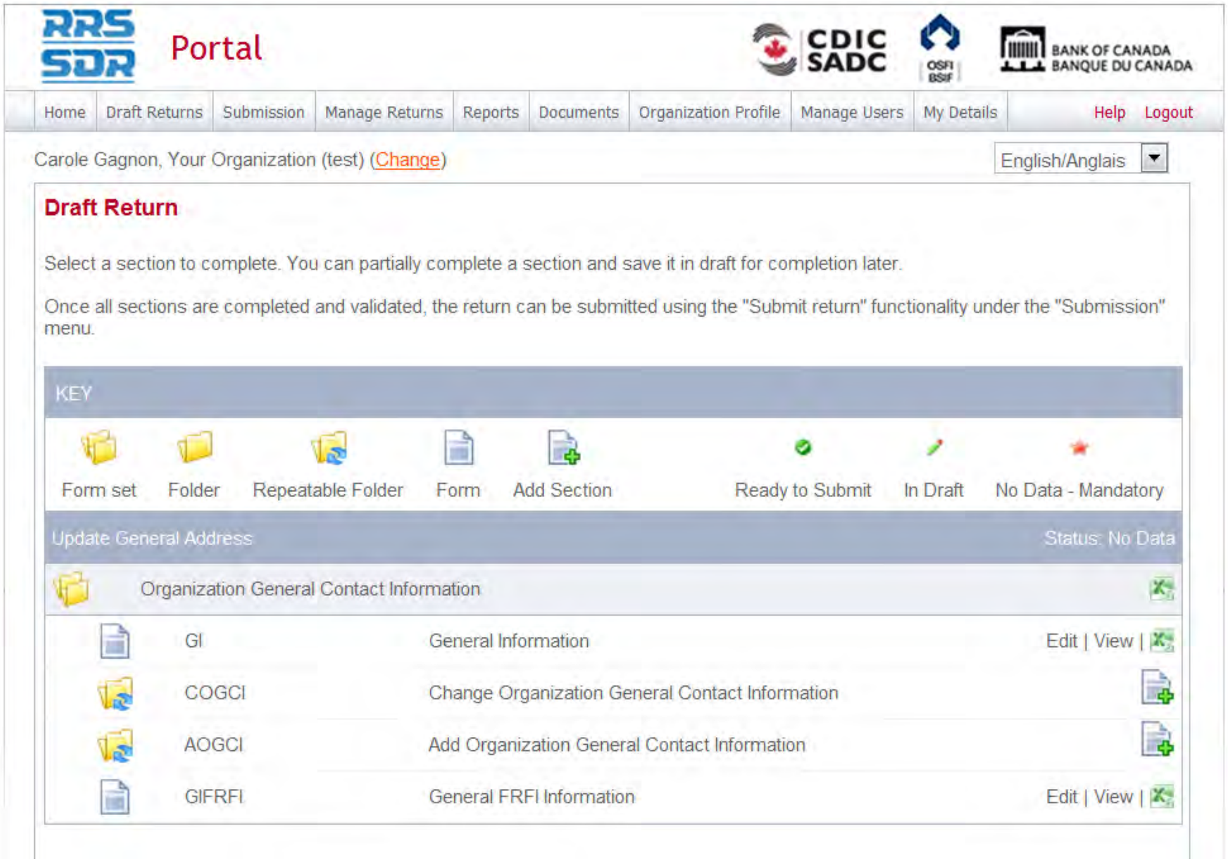

Figure 4-5: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Change Organization General Contact Information”

9. This will open a new worksheet within this section of the return.

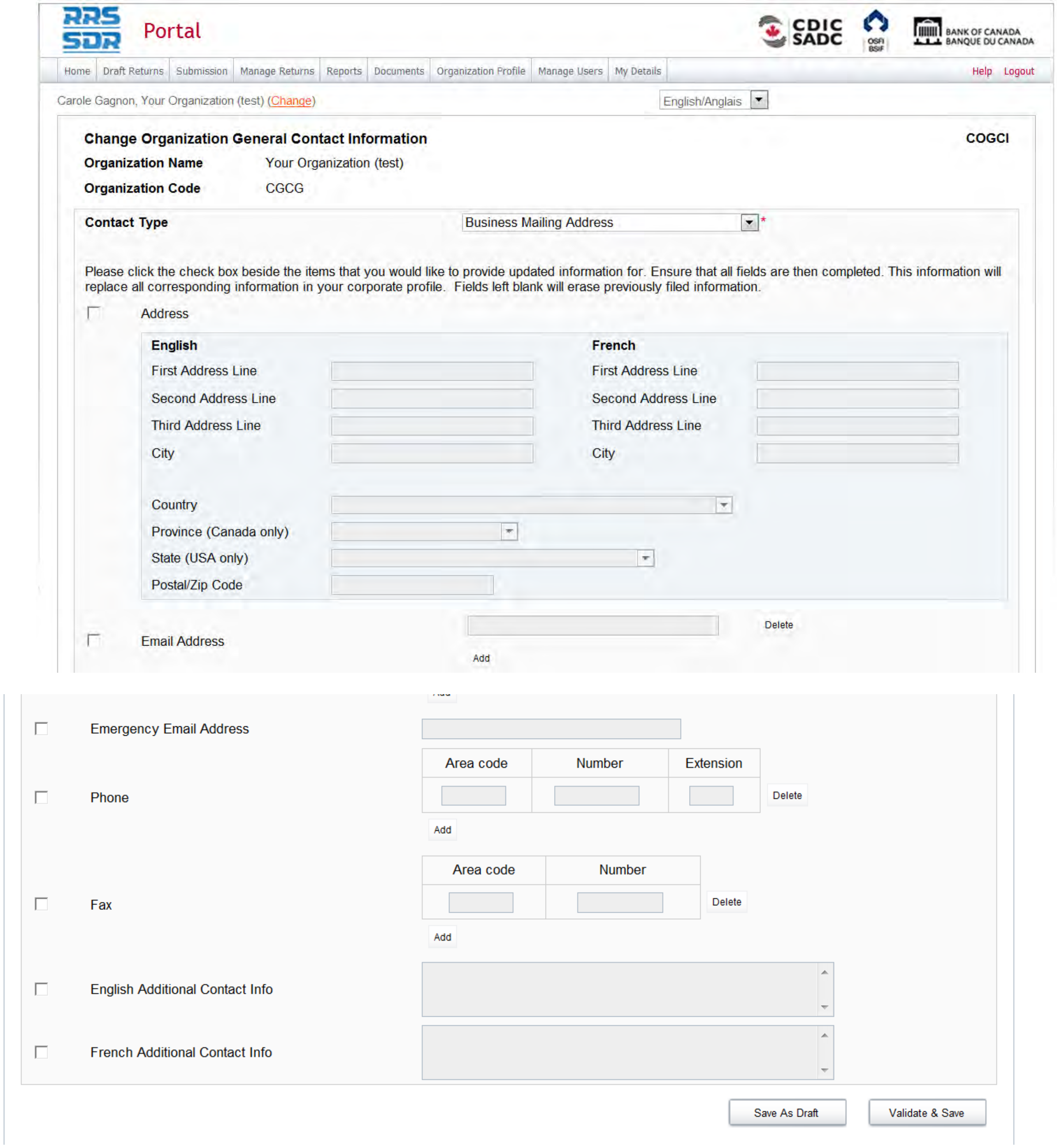

Figure 4-6: Change Organization General Contact Information Page

10. Under Contact Type, choose appropriate contact type you wish to update (see example above).

11. Only check boxes on the left hand side that you wish to provide updated information for.

    a. If providing an address change, you must provide the complete mailing address (the system will not pre-populate that information from your profile).

b. If providing any email, telephone or fax changes, check boxes as appropriate and provide all the required information as appropriate.

c. If you already have an email address, telephone or fax number within your profile and you wish to add a second email or telephone/fax number, you must re-enter the current information from your profile, then add any additional information by clicking on the “Add” button.

12. The Additional Contact Info is meant to be used for any other general information not provided above.

13. You can now click on the “Validate and Save” button.

14. Your return is now ready to be submitted.

15. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.1.3 Updating information located under General Information

Under the General Information section, this is where your preferred language and your organization’s website URL can be found and maintained.

The preferred language is automatically defaulted to English. To change your preferred language to French, simply check off the box on the left hand side to enable that record. Once you have updated this information, you can now click on the “Validate and Save” button.

You can also maintain your organization’s website URL however this information is not a mandatory requirement.

4.1.4 How to answer the questions located under General FRFI Information

The General FRFI Information section does not apply to Private Pension Plans.

For all Federally Regulated Financial Institutions, please provide responses where applicable.

All questions located in this section are defaulted to Null. Below are the instructions on how to answer these questions.

1. Click on the “Edit” button on the right hand side next to “General FRFI Information”
2. This will open a new worksheet within this section of the return.

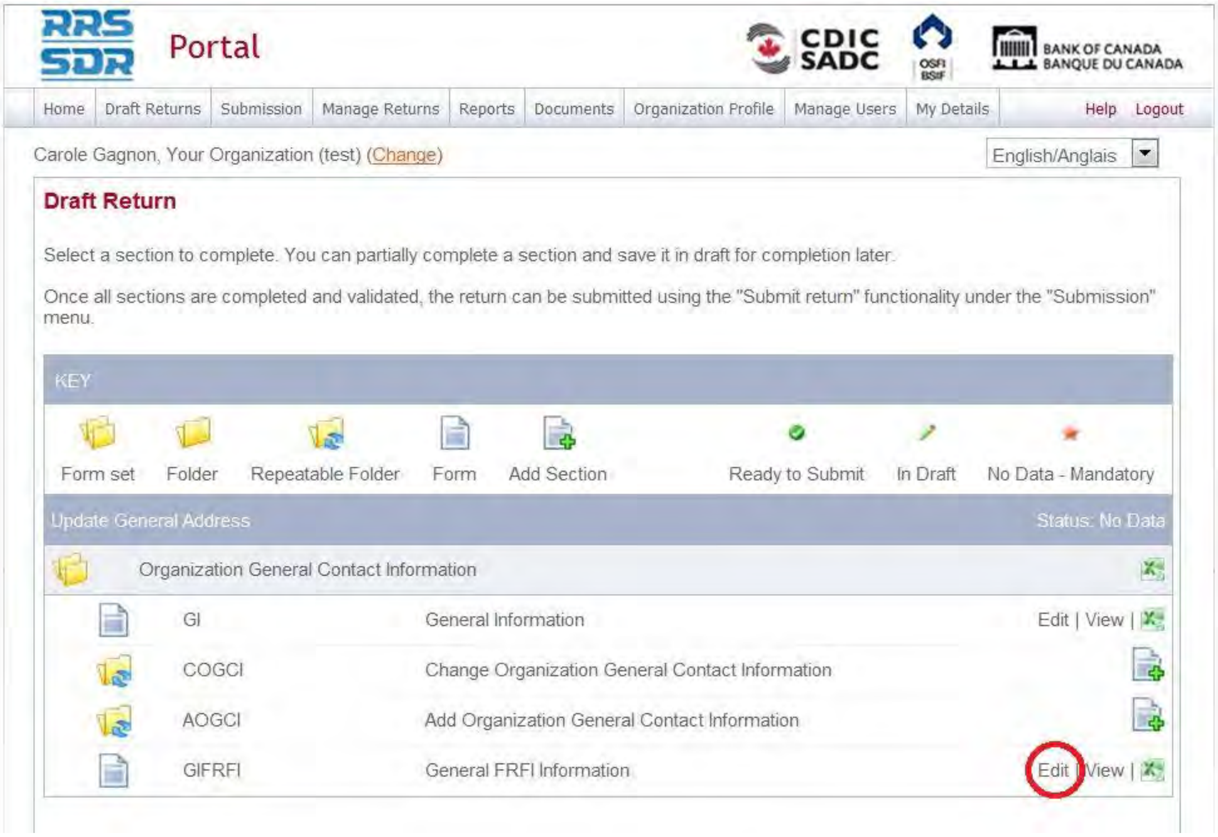

Figure 4-7: Draft Return Page

3. In order to provide a "No" response to any of these questions, simply check box on the left hand side of the applicable question and leave box on the right hand side blank (see example below).

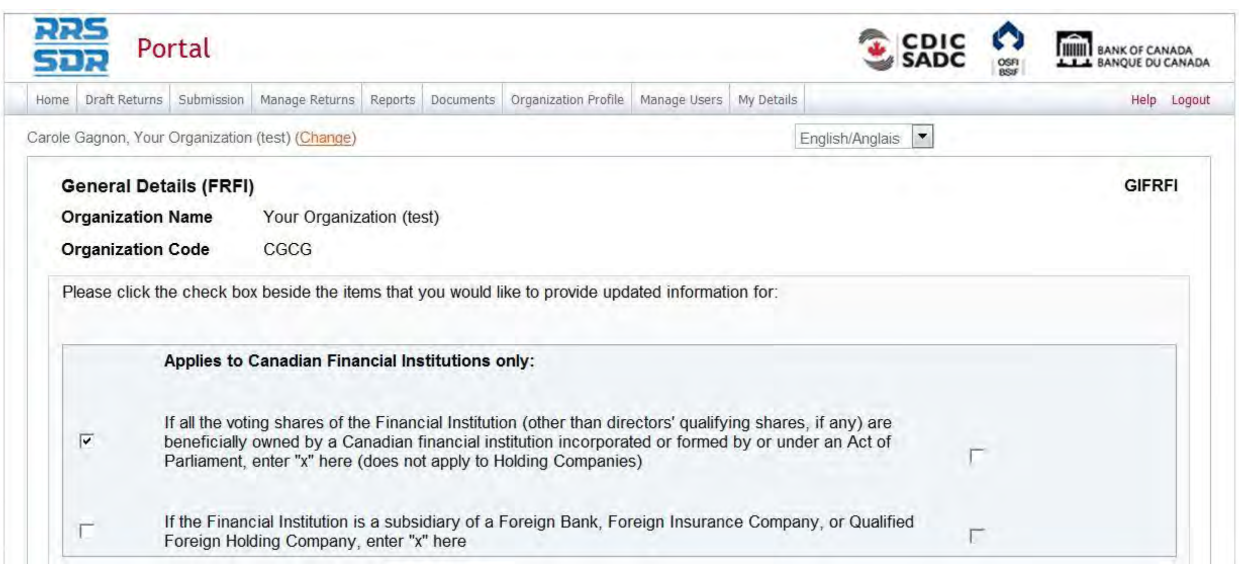

Figure 4-8: General Details (FRFI) Page

4. In order to provide a "Yes" response to any of these questions, simply check box on the left hand side of the applicable question and also check box on the right hand side (see example below).

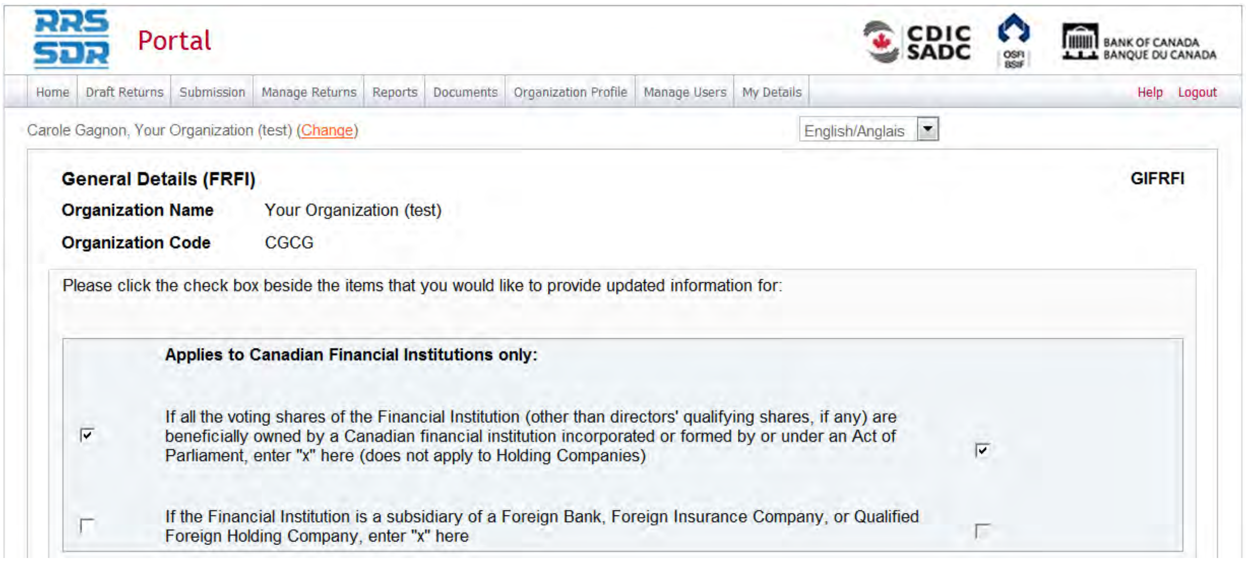

Figure 4-9: General Details (FRFI) Page

5. For the following two new questions, when providing a "Yes" answer to these questions, this will enable the second part of the question where a number must also be provided (see example below.

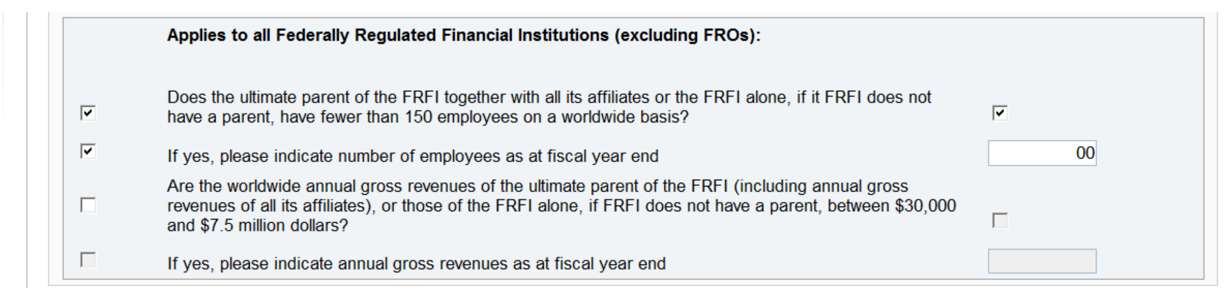

Figure 4-10: General Details (FRFI) Page

6. Once applicable questions have been answered, you can now click on the "Validate and Save" button.

7. Your return is now ready to be submitted. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.2 How to Add an Individual/Related Organization to your Organization Profile

To add an individual or a Related Organization to your organization profile, you must use the Required Roles and Contact Information Return.

For each individual or related organization, a Business Mailing Address must be maintained at all times.

Provide the full name and salutation of each new individual being added to the organization profile.

For all Canadian Domestic Banks and Foreign Bank Subsidiaries, Credit Union Centrals, Trust and Loan Companies, and Co-operative Retail Associations, the following roles must be maintained within your organization profile: Chief Executive Officer, Chief Compliance Officer, Chief Anti-Money Laundering Officer, Chief Financial Officer, Business Continuity/Disaster Recovery Coordinator and Designated Audit Partner and Firm.

For all Foreign Bank Branches, the following roles must be maintained within your organization profile: Principal Officer, Chief Compliance Officer, Chief Anti-Money Laundering Officer, Chief Financial Officer, Business Continuity/Disaster Recovery Coordinator and Designated Audit Partner and Firm.

For all Canadian Life Insurance Companies and Fraternal Benefit Societies, the following roles must be maintained within your organization profile: Chief Executive Officer, Chief Compliance Officer, Chief Anti-Money Laundering Officer, Chief Financial Officer, Business Continuity/Disaster Recovery Coordinator, Appointed Actuary and Designated Audit Partner and Firm.

For all Foreign Life Insurance Companies and Fraternal Benefit Societies, the following roles must be maintained within your organization profile: Chief Agent, Chief Compliance Officer, Chief Anti-Money Laundering Officer, Chief Financial Officer, Business Continuity/Disaster Recovery Coordinator, Appointed Actuary and Designated Audit Partner and Firm.

For all Canadian Property & Casualty Insurance Companies, the following roles must be maintained within your organization profile: Chief Executive Officer, Chief Compliance Officer, Chief Financial Officer, Business Continuity/Disaster Recovery Coordinator, Appointed Actuary and Designated Audit Partner and Firm.

For all Foreign Property & Casualty Insurance Companies, the following roles must be maintained within your organization profile: Chief Agent, Chief Compliance Officer, Chief Financial Officer, Business Continuity/Disaster Recovery Coordinator, Appointed Actuary and Designated Audit Partner and Firm.

For all Foreign Representative Offices, the following role must be maintained within your organization profile: Chief Representative.

For all Private Pension Plans, the following roles must be maintained within your organization profile: Plan Sponsor, Plan Administrator and Pension Fund Custodian.

4.2.1 How to Add an Individual to your Organization Profile

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

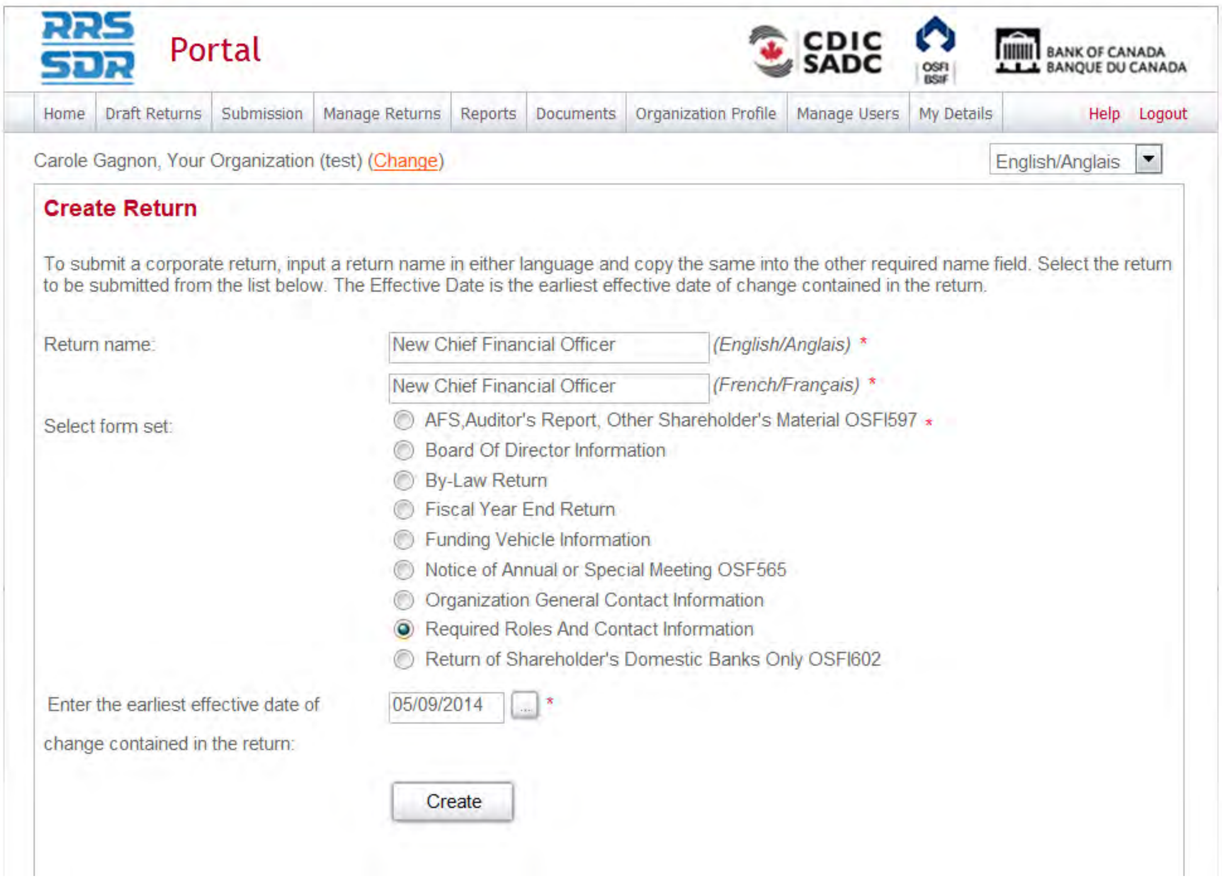

Figure 4-11: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

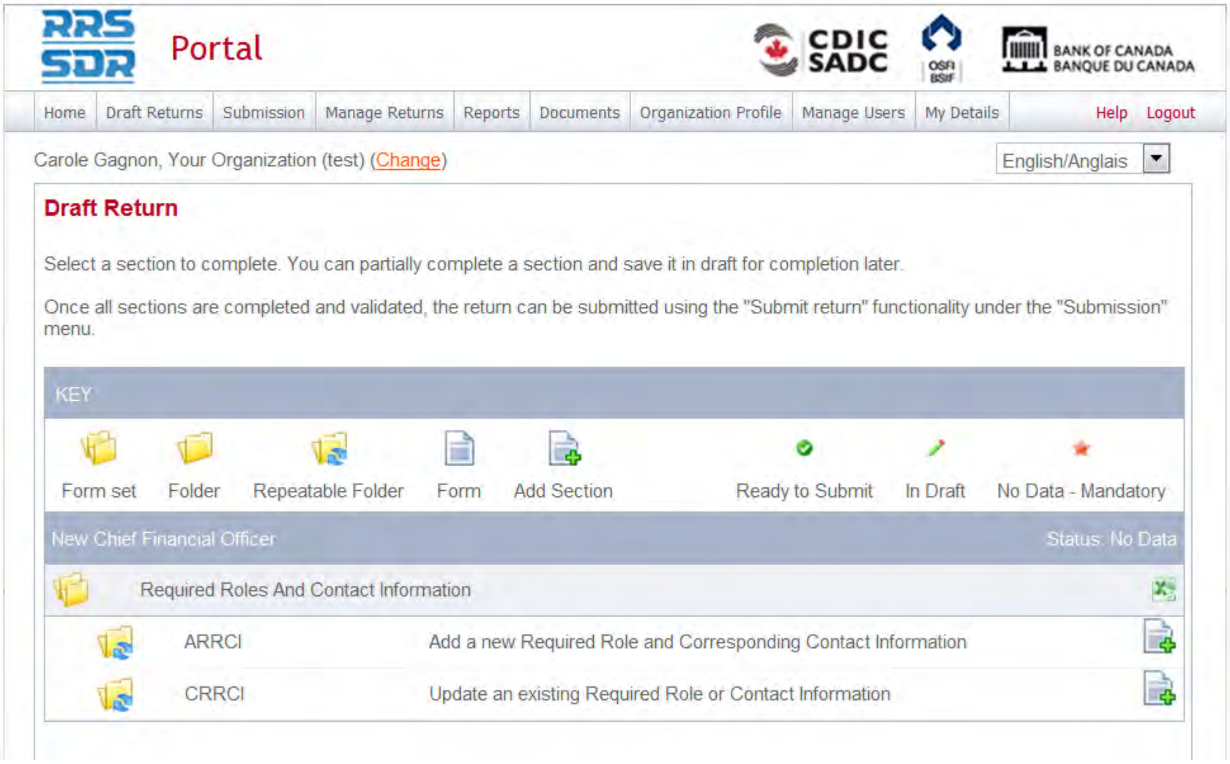

Figure 4-12: Draft Return Page

8. Click on the "Add Instance" button on the right hand side next to "Add a new Required Role and Corresponding Contact Information"

9. This will open a new worksheet within this section of the return.

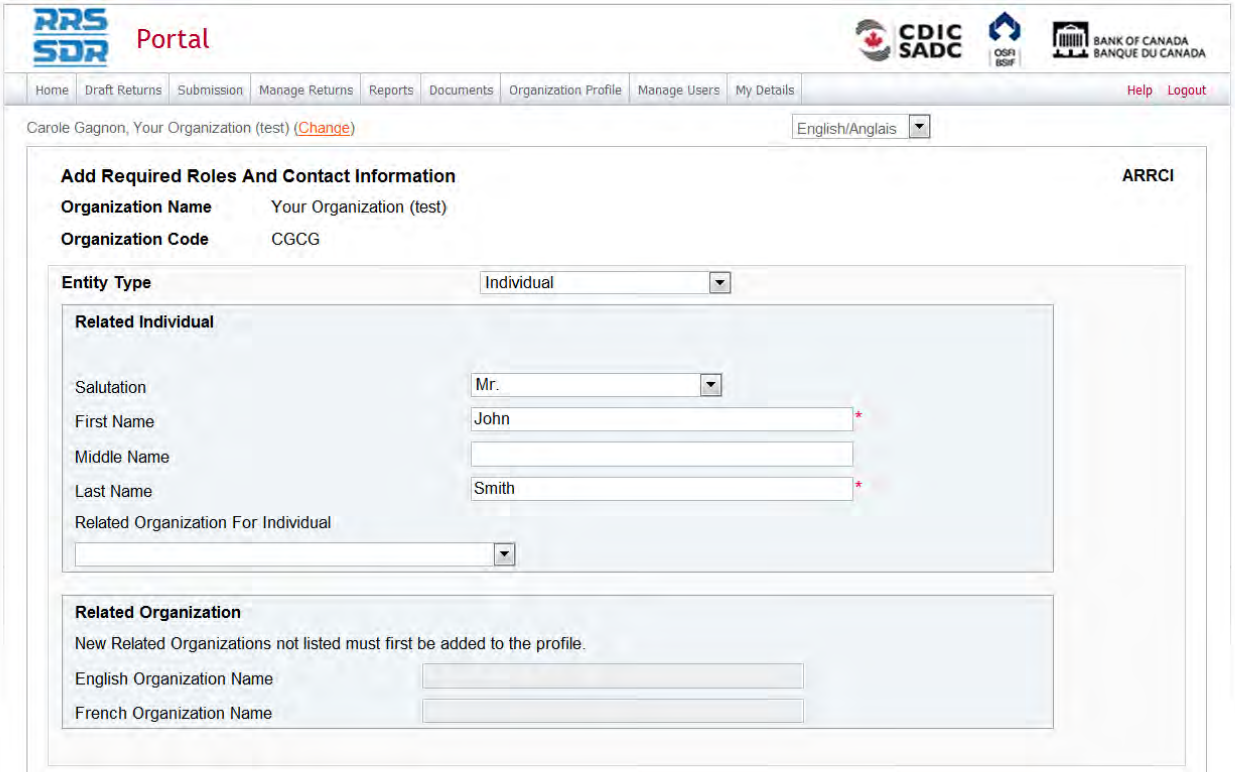

Figure 4-13: Add Required Roles and Contact Information Page

10. Under Entity Type, choose “Individual” (see example above).
11. Under Related Individual, enter appropriate information. (NOTE: The Related Organization section will remain blank.)
12. Under Roles, click on “Add” button to expand box (as shown below).

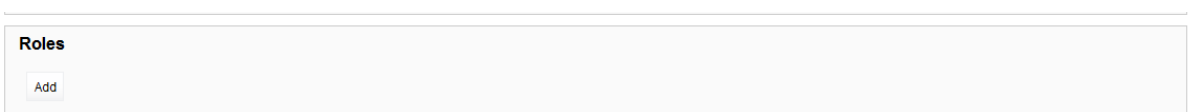

Figure 4-14: Add Required Roles and Contact Information Page

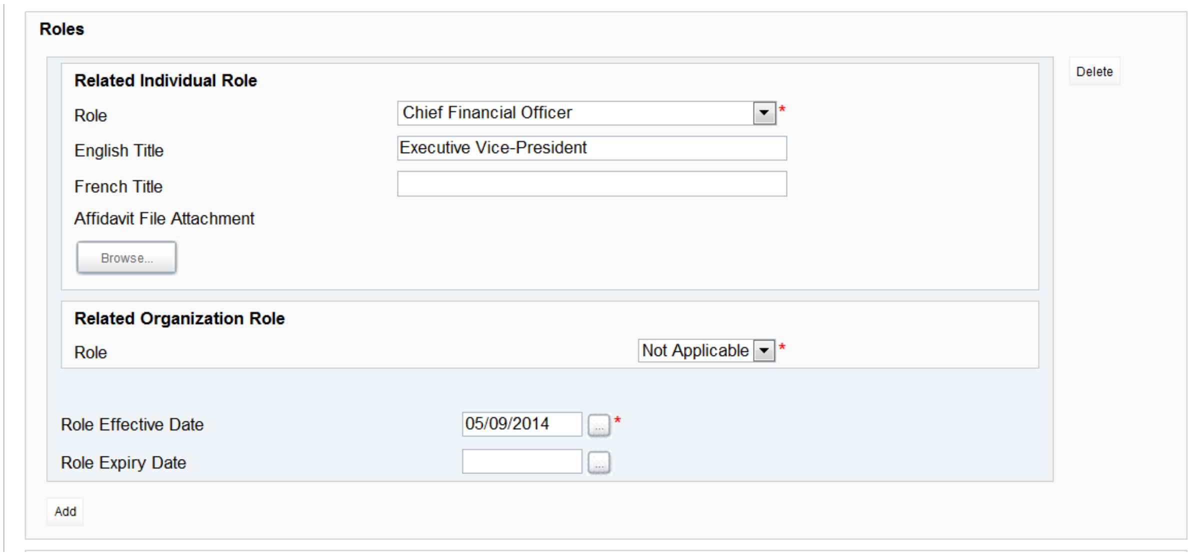

Figure 4-15: Add Required Roles and Contact Information Page

13. Under Related Individual Role, choose the appropriate role for the individual (as shown above)
14. Provide the title of the individual, only if different than the title of the role.
15. Under Related Organization Role, this field will remain as “Not Applicable”.
16. Enter the role effective date.

	Note:
	Affidavit File Attachment only applies to the roles of Chief Agent or Principal Officer. This is where OSFI-25 or OSFI-512 must be uploaded when making any changes to these roles.

17. Under Contact Information, click on “Add” button to expand box (as shown below)

Figure 4-16: Add Required Roles and Contact Information Page

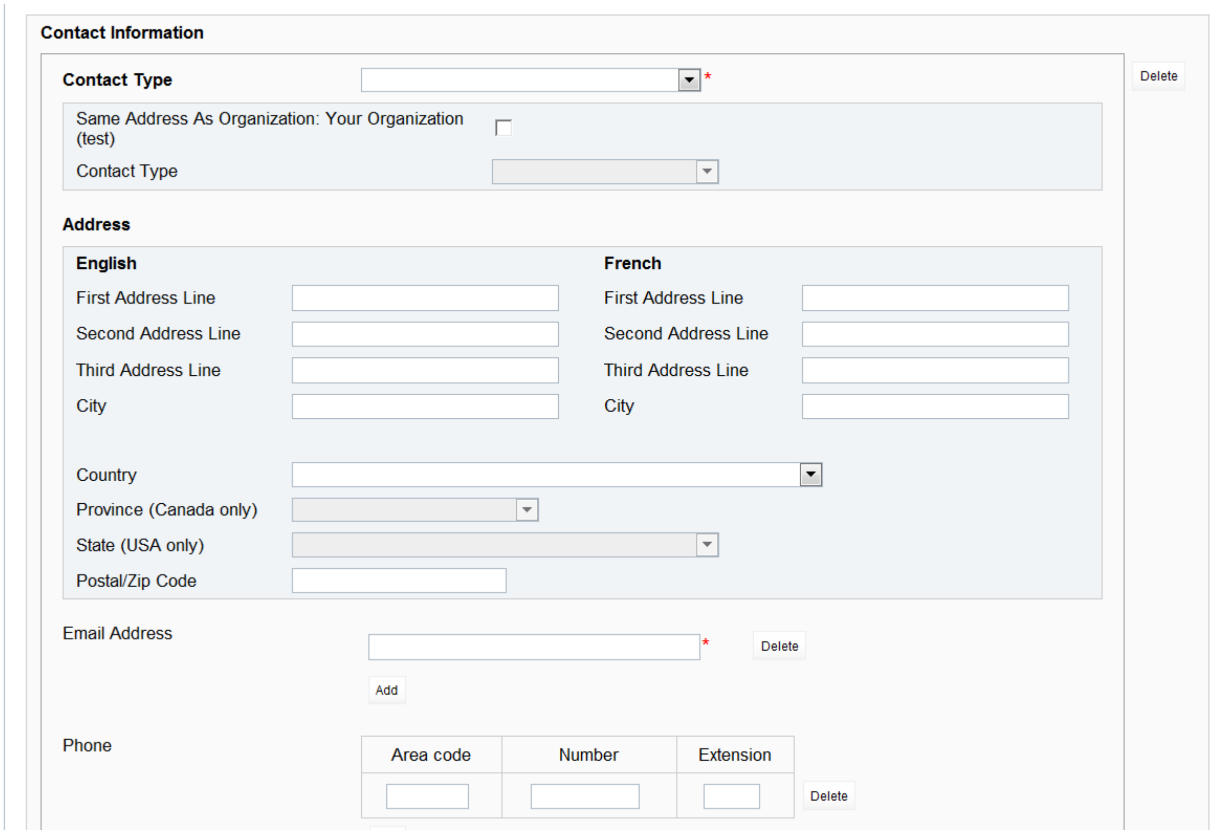

Figure 4-17: Add Required Roles and Contact Information Page

18. Under Contact Type, choose "Business Mailing Address".

	Note:
	For an individual, their contact type must always be set as "Business Mailing Address". If the business mailing address for an individual is the same as the address of your organization, simply check this box and choose the appropriate general contact type in your organization profile.

19. You must then provide a business email address for the individual, including their telephone and fax numbers.

20. You can now click on the "Validate and Save" button.

21. Your return is now ready to be submitted.

22. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.2.2 How to Add a Related Organization to your Organization Profile

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

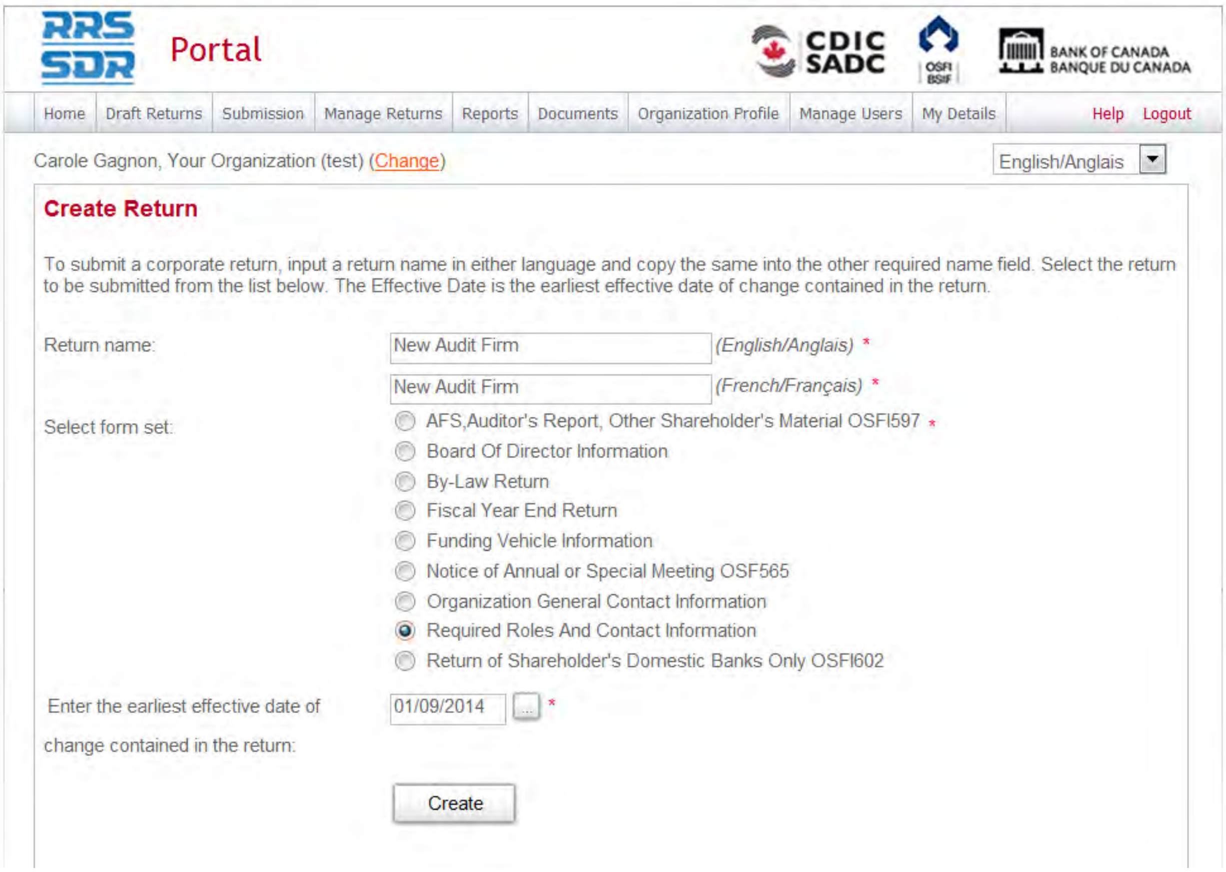

Figure 4-18: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

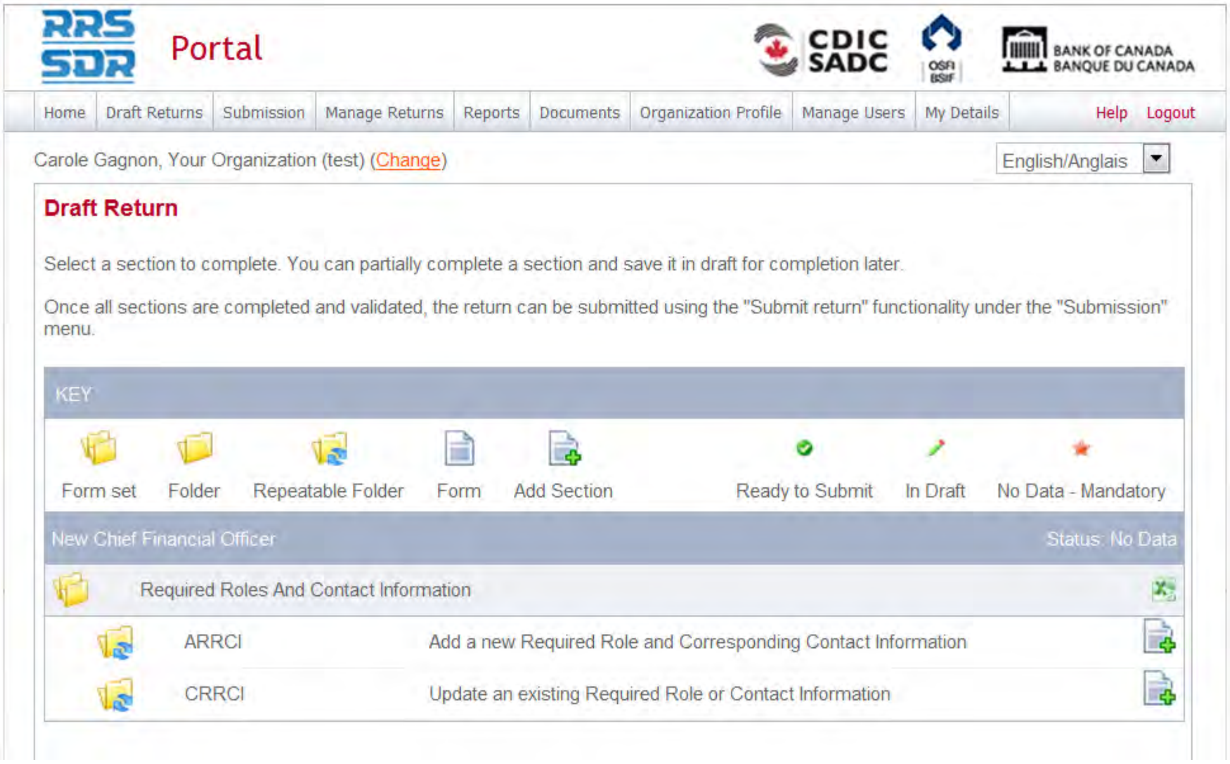

Figure 4-19: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Add a new Required Role and Corresponding Contact Information”

9. This will open a new worksheet within this section of the return.

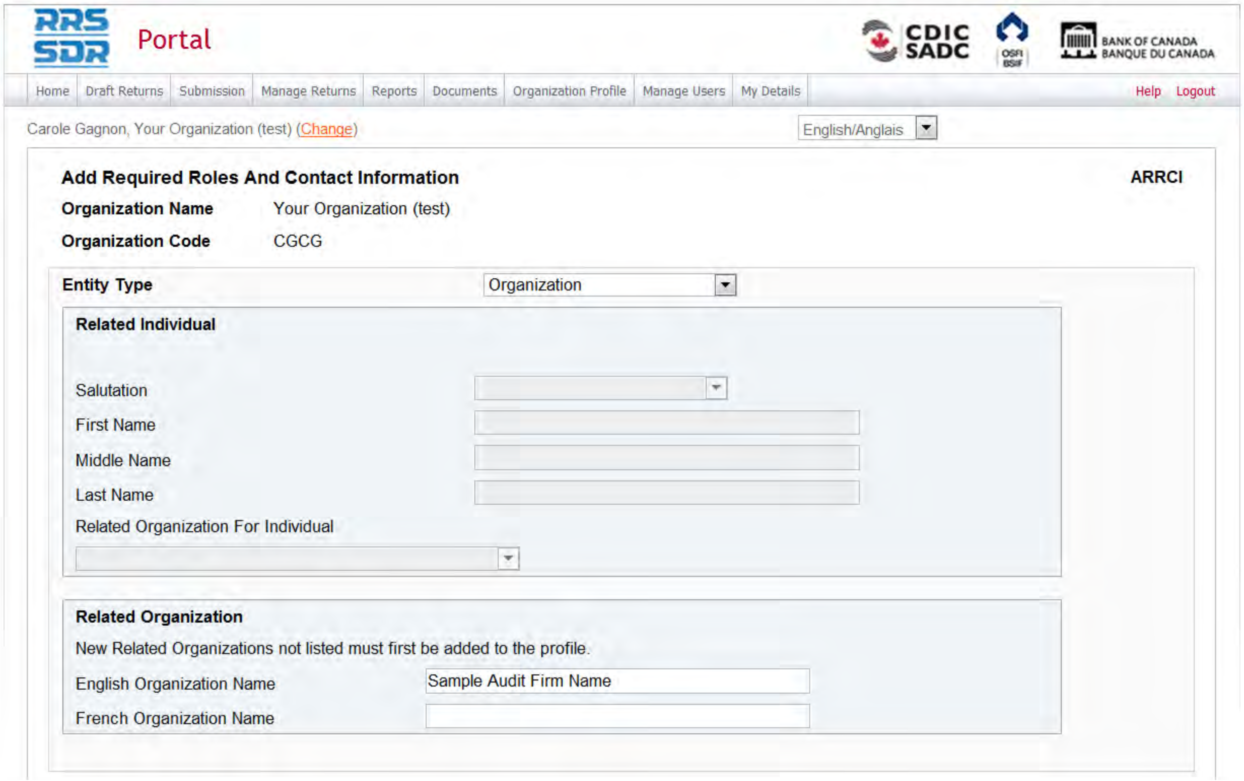

Figure 4-20: Add Required Roles and Contact Information Page

10. Under Entity Type, choose “Organization” (see example above).

11. Under Related Organization, enter appropriate information in the language of your choice. (NOTE: The Related Individual section will remain blank.)

12. Under Roles, click on “Add” button to expand box (as shown below).

Figure 4-21: Add Required Roles and Contact Information Page

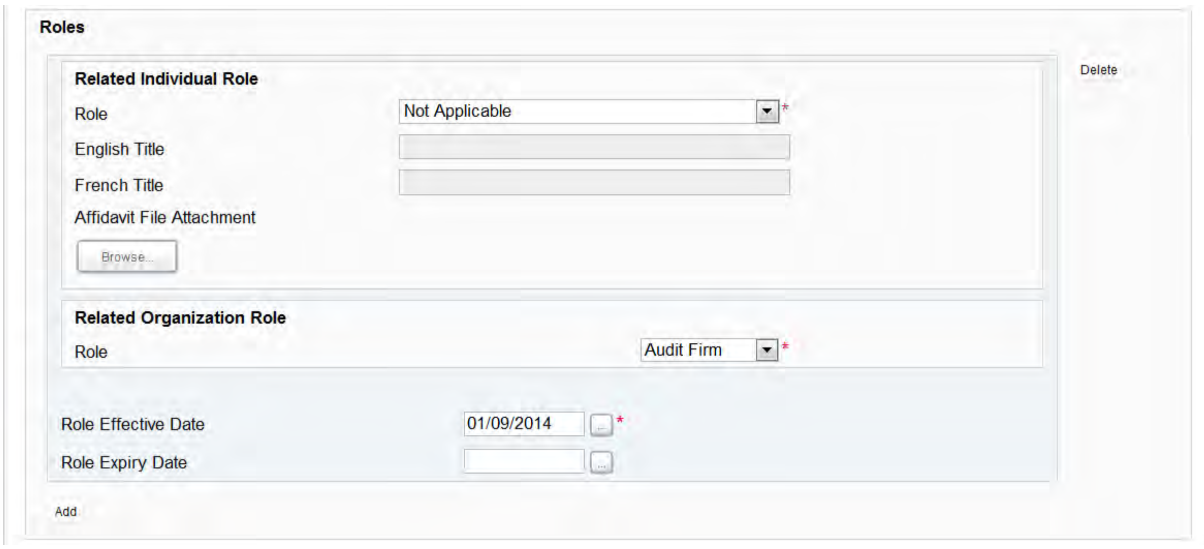

Figure 4-22: Add Required Roles and Contact Information Page

13. Under Related Organization Role, choose the appropriate role for the organization (as shown above)
14. Under Related Individual Role, this field will remain as "Not Applicable".
15. Enter the role effective date.
16. Under Contact Information, click on "Add" button to expand box (as shown below)

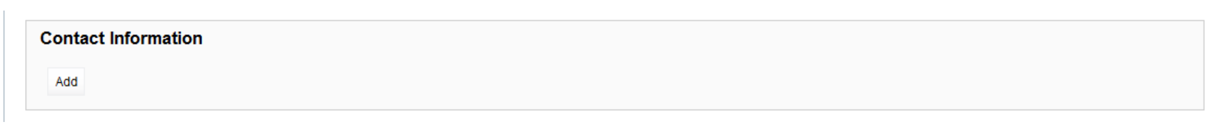

Figure 4-23: Add Required Roles and Contact Information Page

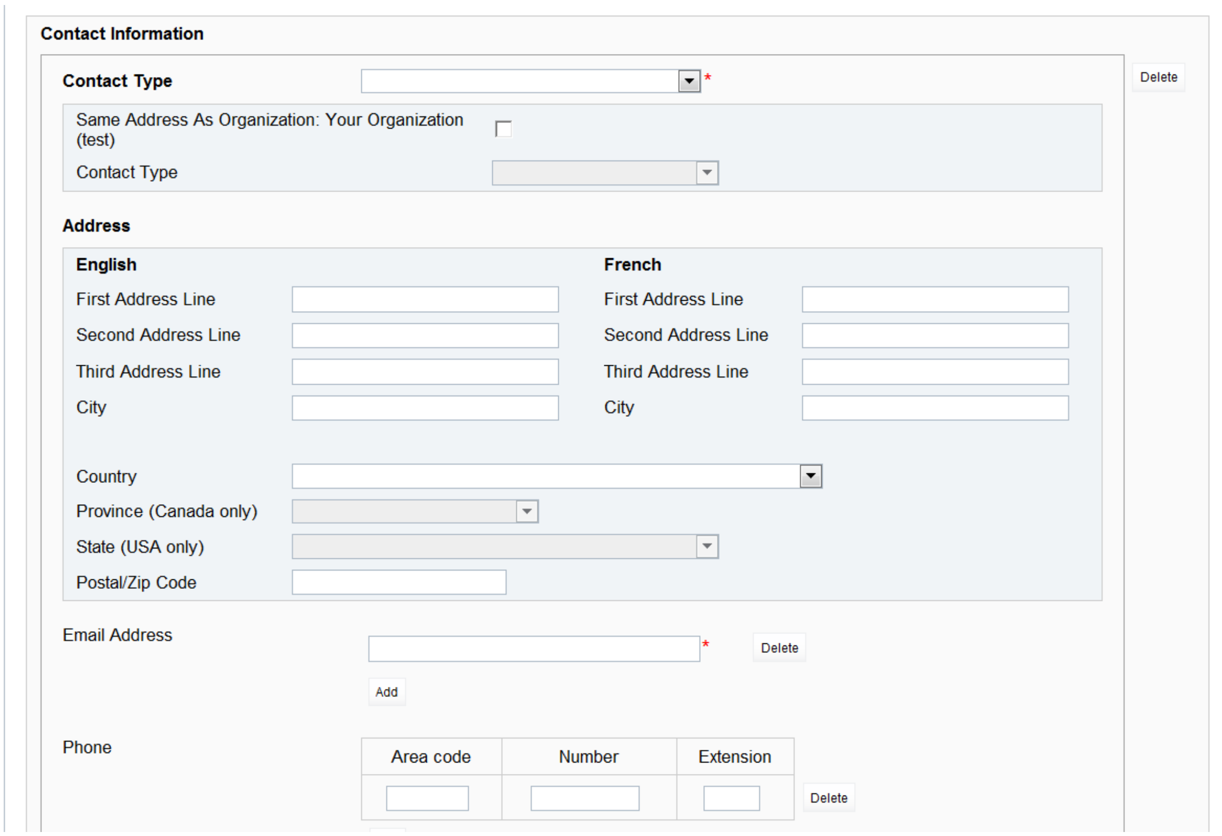

Figure 4-24: Add Required Roles and Contact Information Page

17. Under Contact Type, choose "Business Mailing Address".

	Note:
	For a related organization, their contact type must always be set as "Business Mailing Address".

18. You must then provide a general business email address for the organization, including a general telephone and fax number. (If a general business email address is not available, please provide the email address for the individual related to this organization.)

19. You can now click on the "Validate and Save" button.

20. Your return is now ready to be submitted.

21. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.3 How to Delete an Individual or a Related Organization from your Organization Profile

To delete an individual or a Related Organization from your organization profile, you must use the Required Roles and Contact Information Return. The following are instructions on how to delete an individual.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

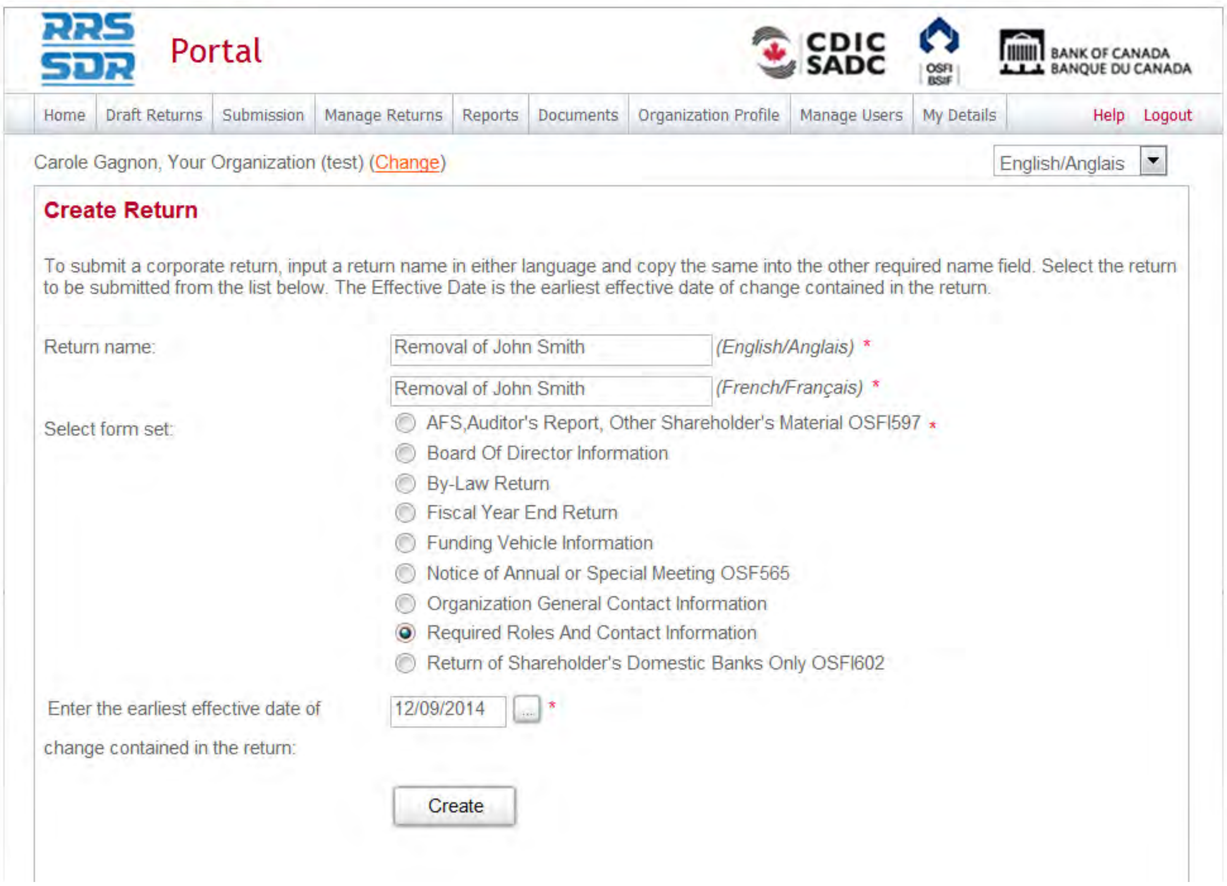

Figure 4-25: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

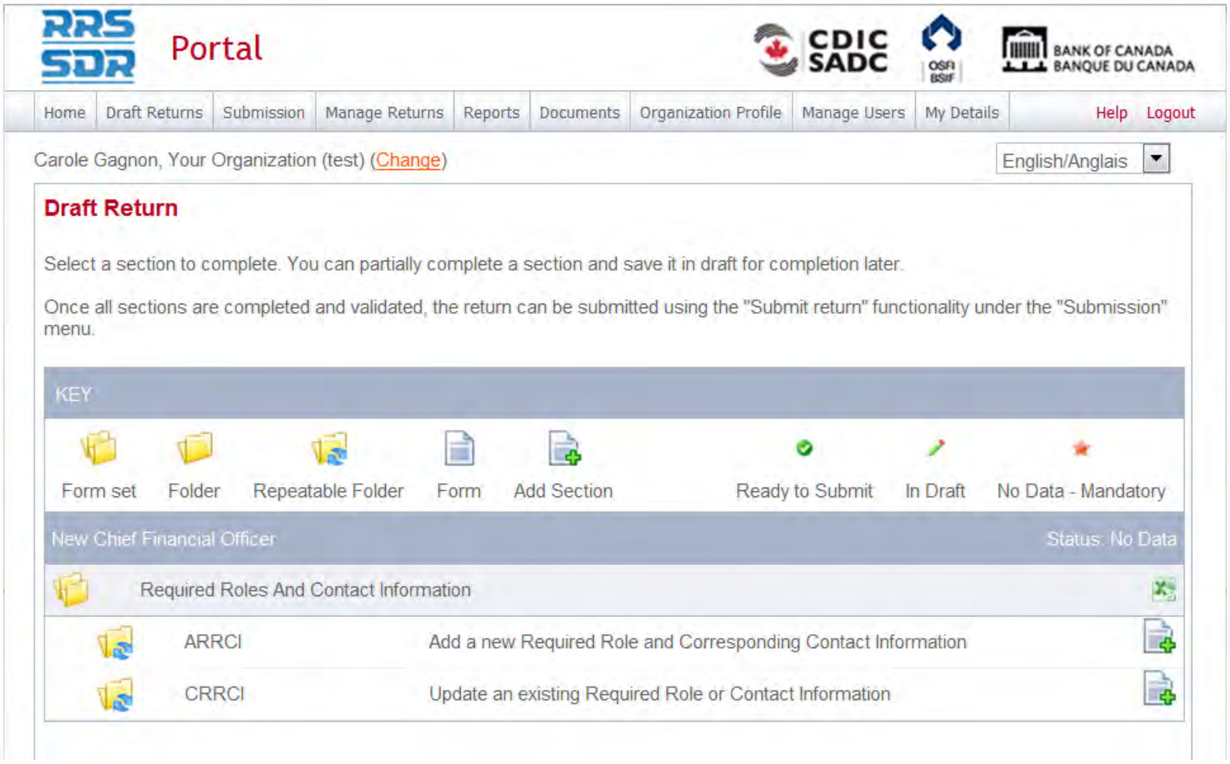

Figure 4-26: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”

9. This will open a new worksheet within this section of the return.

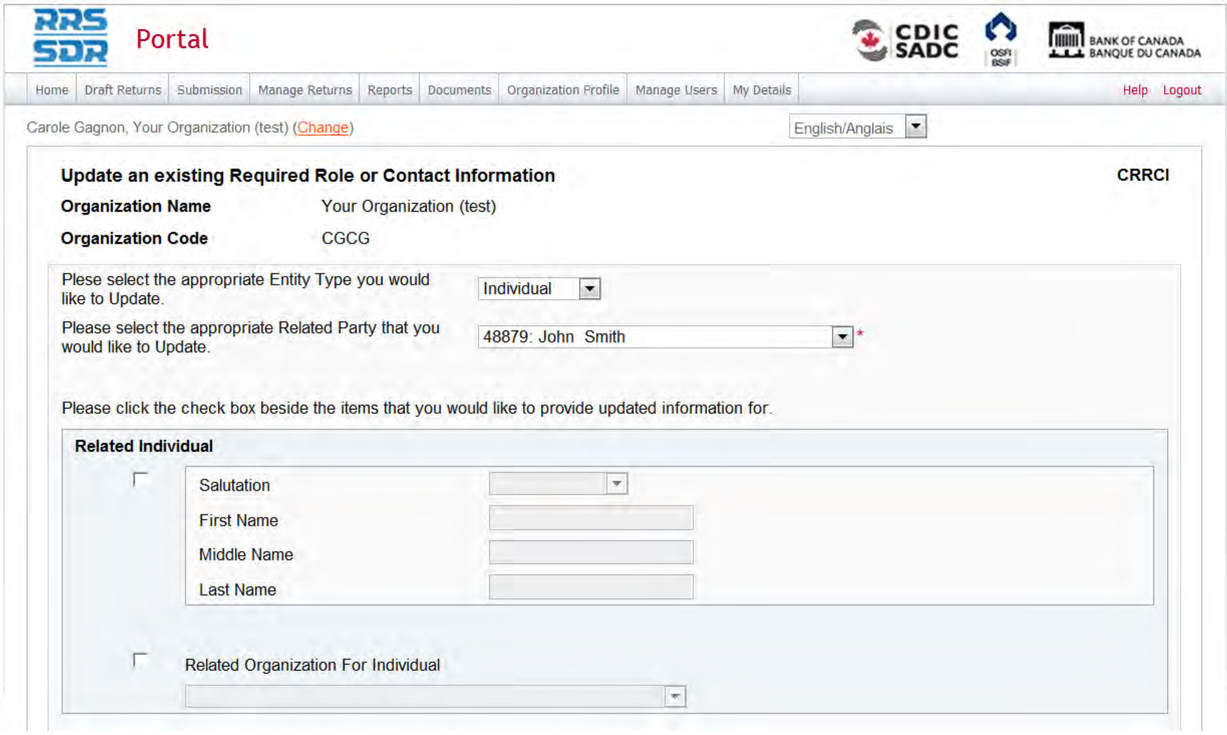

Figure 4-27: Update an existing Required Roles or Contact Information Page

10. Under Select the appropriate Entity Type you would like to Update, choose "Individual" (see example above).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to remove from the drop down menu.

Note:

The instructions are the same if you are updating a related organization. In this instance, you would choose "Organization" as your entity type and you would then select the name of the related organization from the drop down menu.

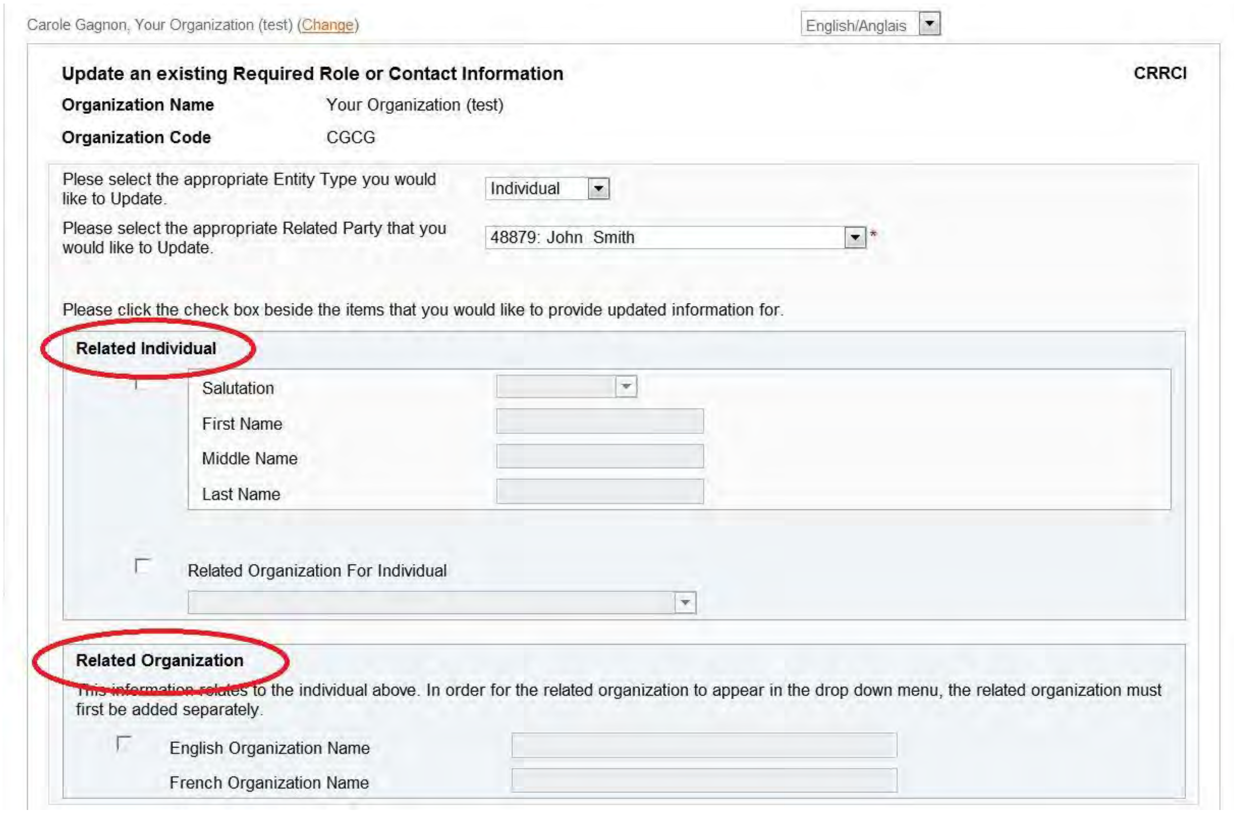

Figure 4-28: Update an existing Required Roles or Contact Information Page

	Note:
	On this page, when you are looking to delete an individual or a related organization, the Related Individual and Related Organization sections above will always remain blank. These two sections are only to be used when you wish to make a change to an individual's name (i.e. Jane Smith changes to Jane O'Connor) or a related organization's name (i.e. Price Waterhouse changes to PricewaterhouseCoopers).

12. Under Roles, click on “Add” button to expand box (as shown below).

Figure 4-29: Update an existing Required Roles or Contact Information Page

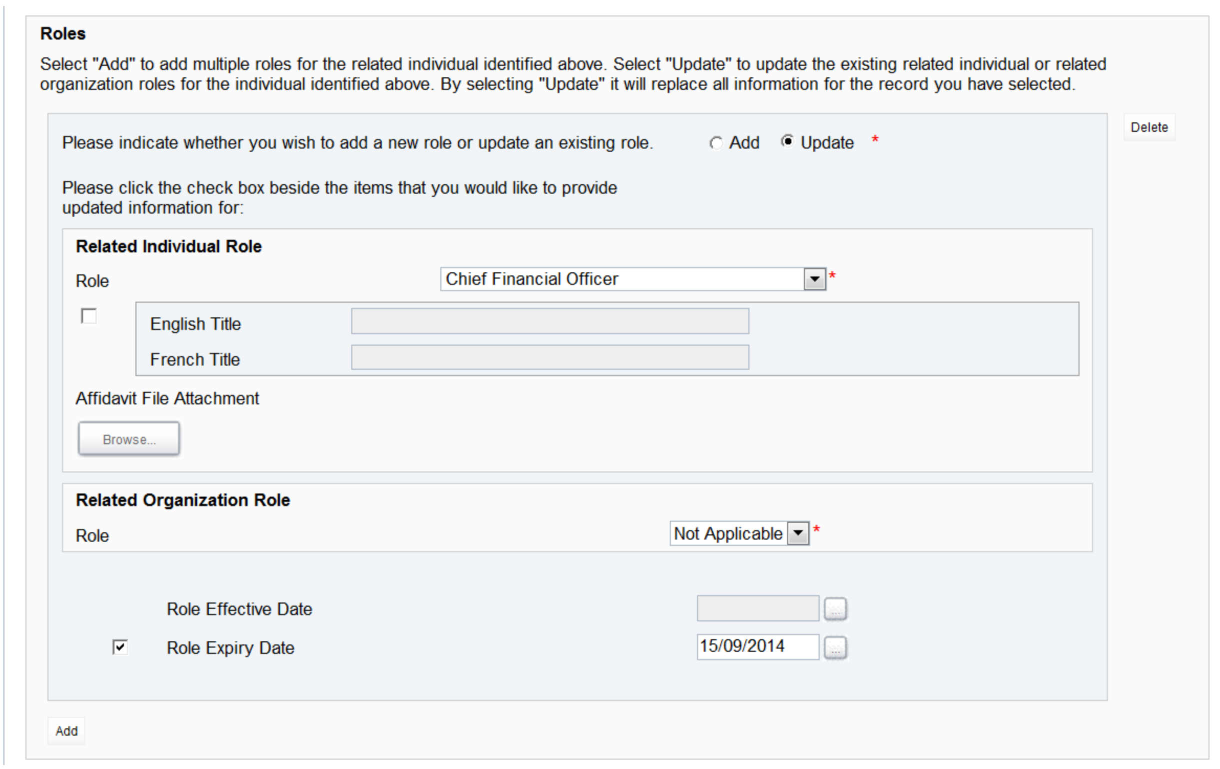

Figure 4-30: Update an existing Required Roles or Contact Information Page

13. Under Indicate whether you wish to add a new role or update an existing role, choose “Update”.
14. Under Related Individual Role, choose the appropriate role for the individual (as shown above)
15. Under Related Organization Role, this field will remain as “Not Applicable”.
16. Check box to the left of Role Expiry Date, this will enable to date field on the right hand side.
17. Select the appropriate Role Expiry Date.

18. You can now click on the "Validate and Save" button.

19. Your return is now ready to be submitted.

20. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

	Note:
	When you are removing and adding an individual on the same effective date (i.e. the CEO of your organization has resigned and you are adding a new CEO), you are strongly encouraged to use one return to make both changes. Additions and deletions can be made within the same return filing.

	Reminder:
	The system will NOT allow you to create two identical returns with the same effective date.

4.4 How to Add Multiple Roles to an Existing Individual within your Organization Profile

To add multiple roles to an existing individual within your Organization Profile, you must use the Required Roles and Contact Information Return. The following are instructions on how to add multiple roles to an existing individual.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

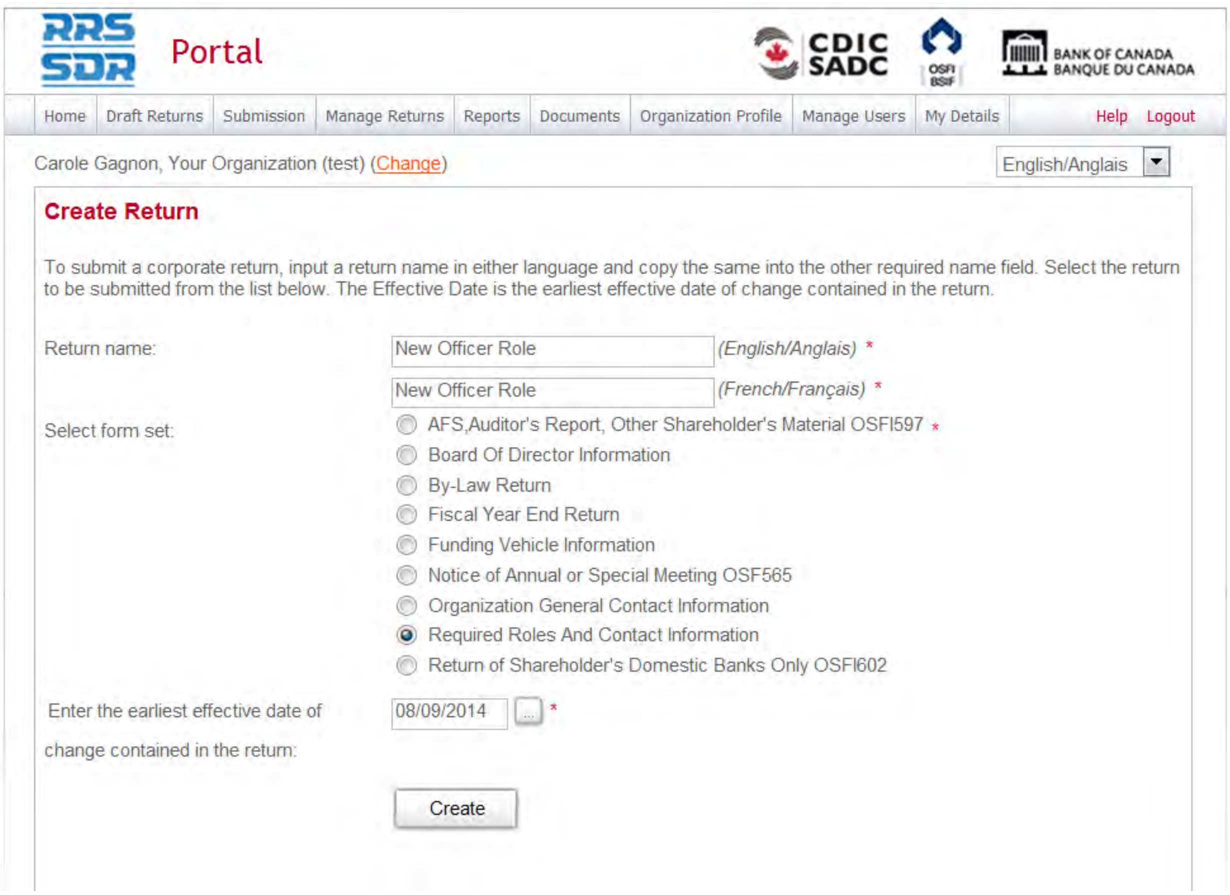

Figure 4-31: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Required Roles And Contact Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.

Your corporate return is now ready for completion in the Draft Returns section of RRS.

7. Go to your Draft Returns section and open the return you just created.

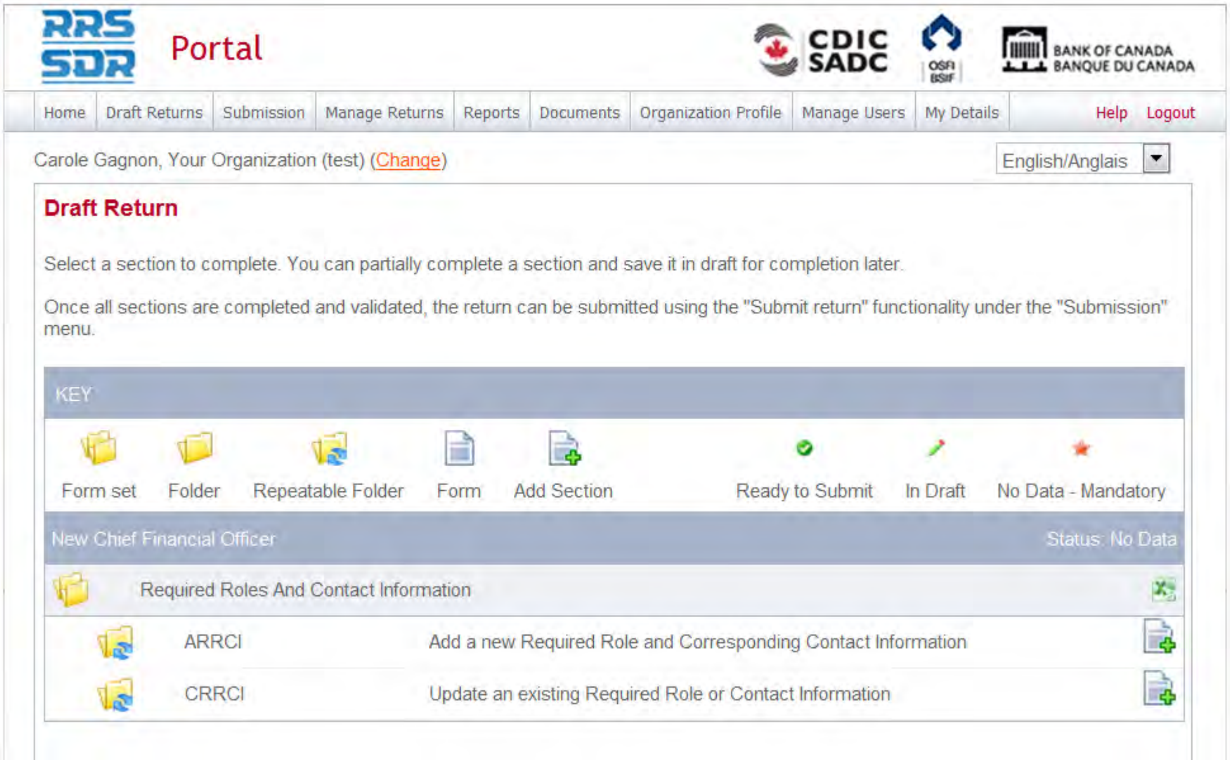

Figure 4-32: Draft Return Page

8. Click on the “Add Instance” button on the right hand side next to “Update an existing Required Role or Contact Information”

9. This will open a new worksheet within this section of the return.

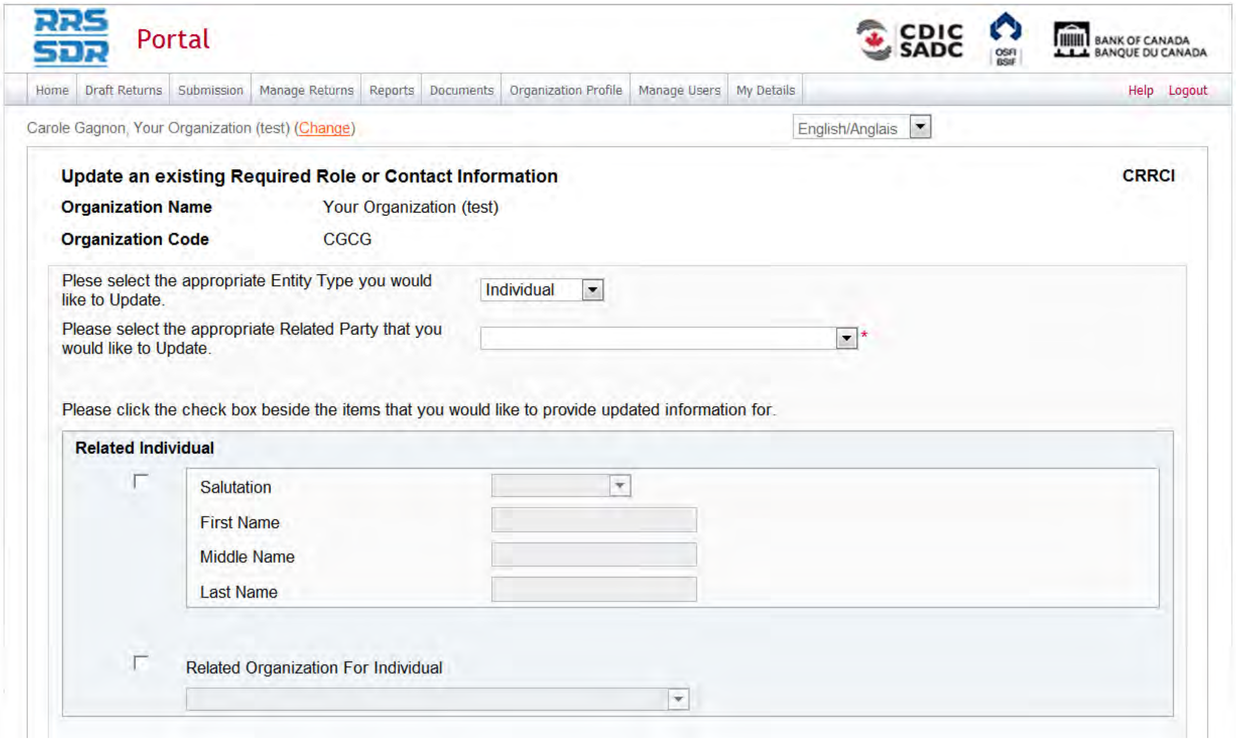

Figure 4-33: Update an existing Required Roles or Contact Information Page

10. Under Select the appropriate Entity Type you would like to Update, choose “Individual” (see example above).

11. Under Select the appropriate Related Party that you would like to Update, choose the name of the individual you would like to add additional roles from the drop down menu.

12. Under Roles, click on “Add” button to expand box (as shown below).

Figure 4-34: Update an existing Required Roles or Contact Information Page

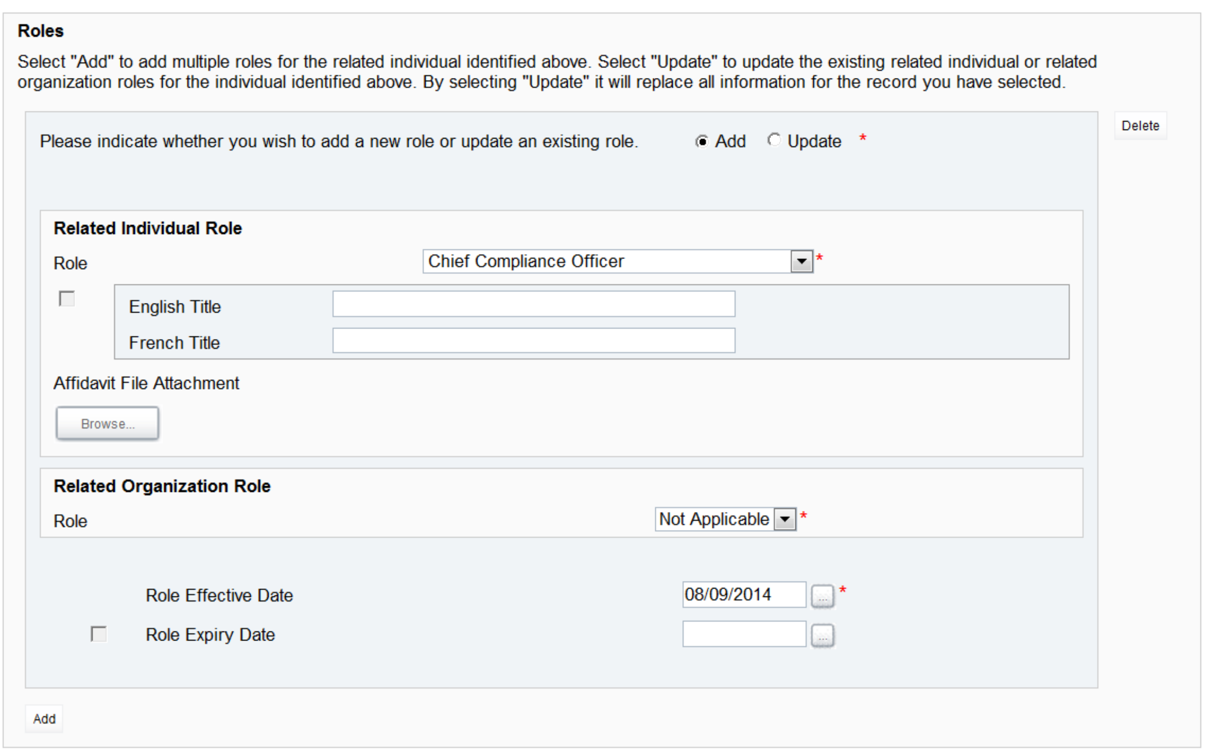

Figure 4-35: Update an existing Required Roles or Contact Information Page

13. Under Indicate whether you wish to add a new role or update an existing role, choose "Add".
14. Under Related Individual Role, choose the appropriate role for the individual (as shown above)
15. Add the individual's title, if different than the title of the role.
16. Under Related Organization Role, this field will remain as "Not Applicable".
17. Select the appropriate Role Effective Date.
18. You can now click on the "Validate and Save" button.
19. Your return is now ready to be submitted.
20. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.5 How to make changes related to the External Auditor/Actuary and Audit/Actuarial Firm Roles

When making a change to your External Auditor or External Actuary roles within your Organization Profile, you must use the Required Roles and Contact Information Return. This change requires a 2-step process within the same return.

4.5.1 How to make changes when only the auditor/actuary role changes

The following instructions are specific to when only the auditor/actuary "partner" role changes and where the audit/actuary firm remains unchanged.

In this instance, you are first required to add a role expiry date to the existing auditor/actuary (individual) under the Update an existing required role and contact information section. Please follow steps under 4.3 How to delete an individual from your organization profile.

Secondly, you will then be required to add the new individual (auditor/actuary) under the Add a new required role and contact information section. Please follow steps under 4.2.1 How to add an individual to your organization profile.

For these two roles only, you will also be required to relate the individual to the related organization under "Related Organization For Individual" (see example below).

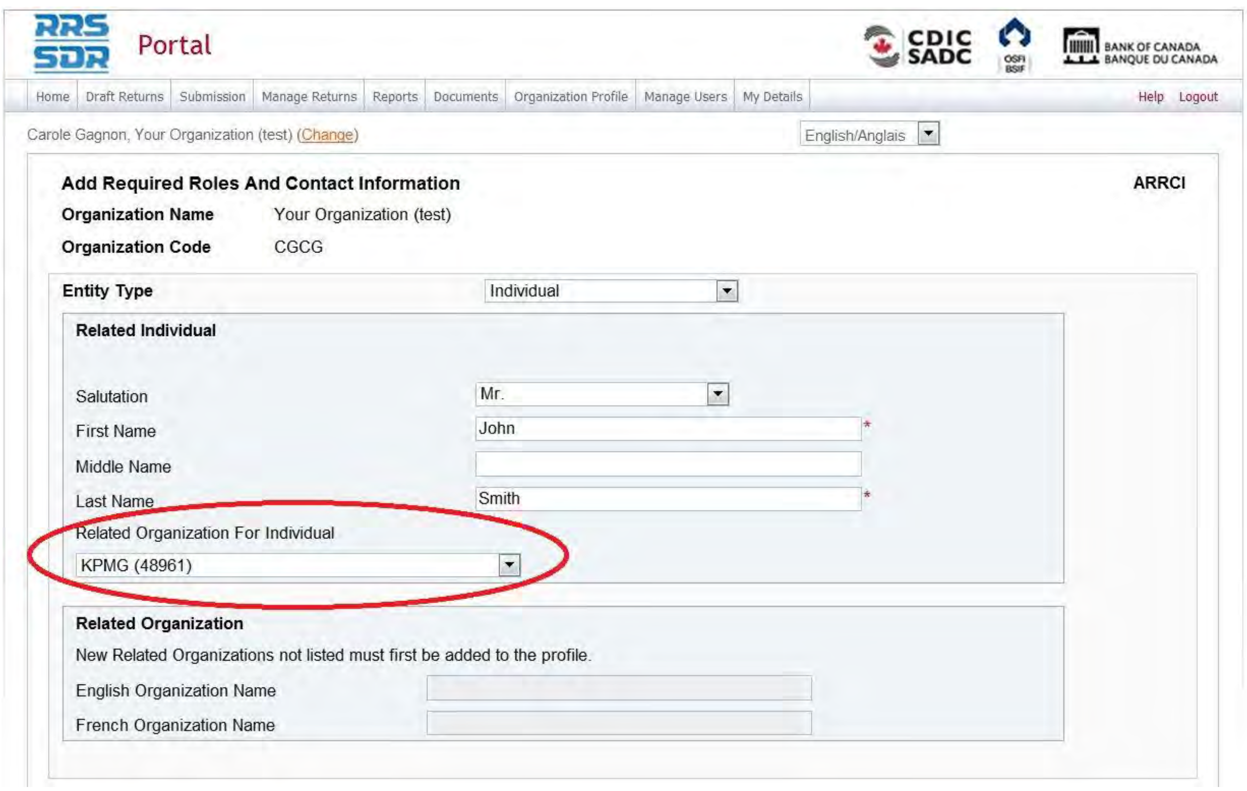

Figure 4-36: Add Required Roles and Contact Information Page

Note: For the role of Internal Actuary, the requirement to relate the individual to a related organization does not apply.

4.5.2 How to make changes when both the Audit/Actuarial Firm and External Auditor/Actuary roles changes

The following instructions are specific to when both the external auditor/actuary "partner" role and the Audit/Actuarial Firm changes.

In this instance, you will first add a role expiry date to the existing auditor/actuary (Individual) under the Update an existing required role and contact information section. Secondly, then add a role expiry date to the existing Audit/Actuarial Firm (Related Organization) Please follow steps under 4.3 How to delete an individual from your organization profile in both instances.

Thirdly, you will then be required to add the new related organization (Audit/Actuarial Firm) under the Add a new required role and contact information section. And finally, then add the new individual (External Auditor/Actuary). Please follow steps under 4.2.1 How to add an individual to your organization profile in both instances.

For the External Auditor/Actuary role, you will also be required to relate the individual to the related organization under "Related Organization For Individual" (see example under Figure 4-32: Add Required Roles and Contact Information Page).

4.6 How to Make a Change to Both a Pension Plan's Funding Vehicle and Fund Custodian

In this instance, two corporate returns will need to be created, the first being the Required Role and Contact Information Return and the second being the Funding Vehicle Information Return. You must first complete and submit the Required Role and Contact Information Return to add the related individual and related organization of the fund custodian.

Once the first return has been successfully submitted, you must then complete and submit the Funding Vehicle Information Return. This return adds the funding vehicle information as well as relates it to the appropriate fund custodian previously submitted.

	Reminder
	When replacing existing information within the Organization Profile with new information, you must also update the existing information by adding a role expiry date to each affected individuals and/or related organizations.

To create a corporate return using the two-return process:

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

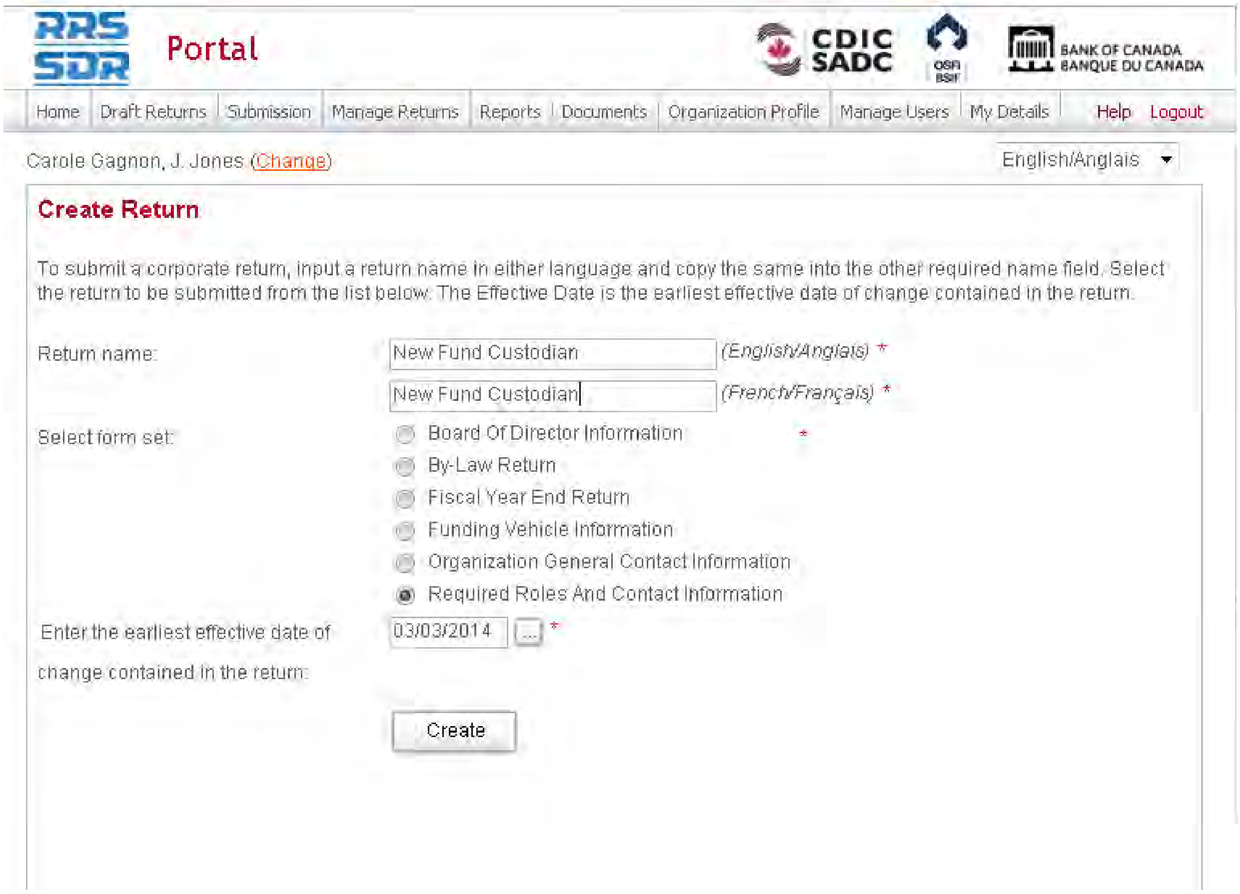

Figure 4-37 Create Return Page

1. Enter an English and French name for the return (see example above).
2. Select Required Roles And Contact Information.
3. Enter the Effective Date of change.
4. Click the **Create** button.
5. Click on **Draft Returns** to view the return in your draft folder.

Figure 4-38 Draft Returns Page

6. Click on **New Fund Custodian** to open the return.

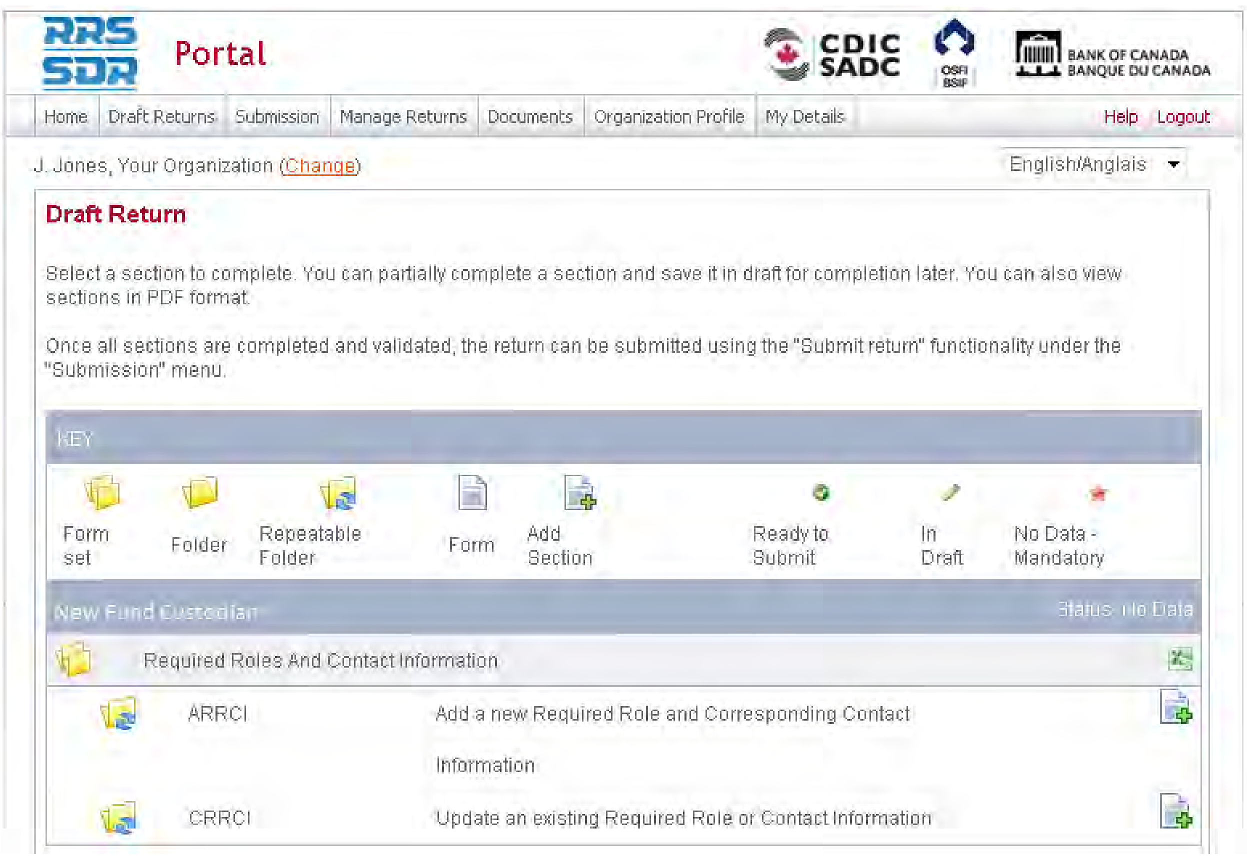

Figure 4-39 Draft Return Page

To add all the related individual as well as the related organization information for the Fund Custodian, follow the steps outlined in Section 3.7 to add both roles within the same return.

7. Click the **Validate & Save** button.

Follow the steps outlined in Section 3.1 to submit this return.

To update Funding Vehicle Information follow the steps below:

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

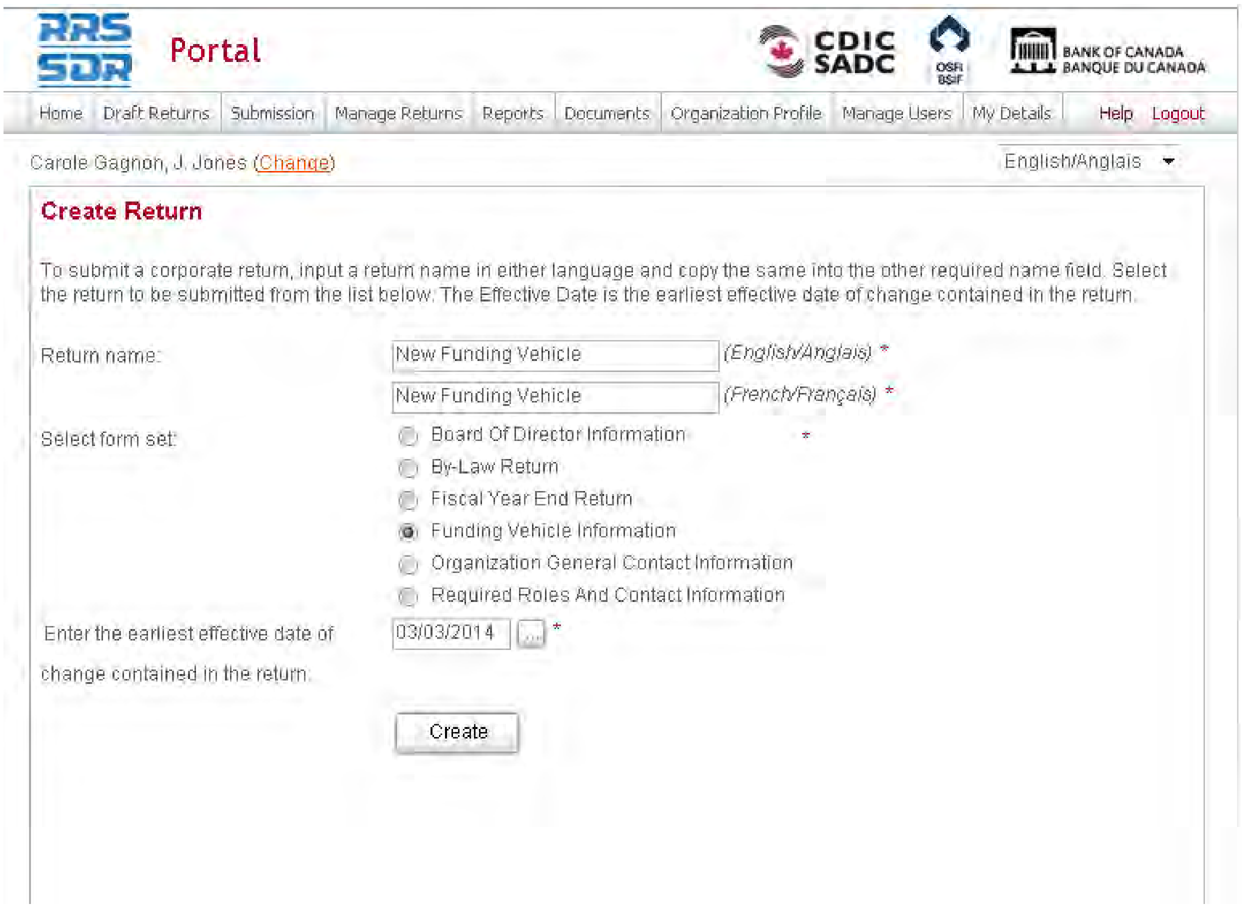

Figure 4- 40 Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Funding Vehicle Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click on **Draft Returns** to view the return in your draft folder.

Figure 4-41 Draft Returns Page

8. Click on **New Funding Vehicle** to open the return.

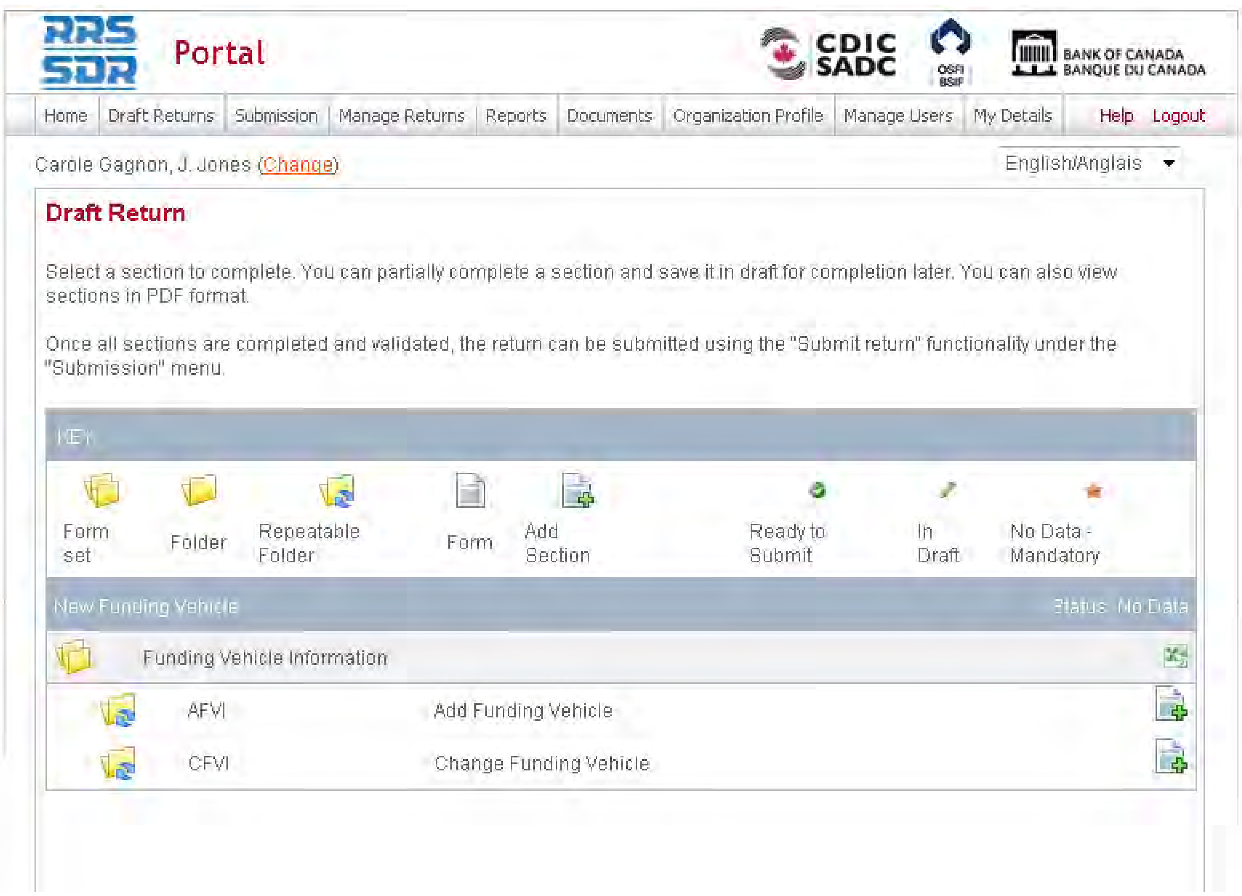

Figure 4-42 Draft Return Page

9. Click the page with a green plus sign symbol associated with the section to be added or changed.

10. Enter the appropriate funding vehicle information into the return.

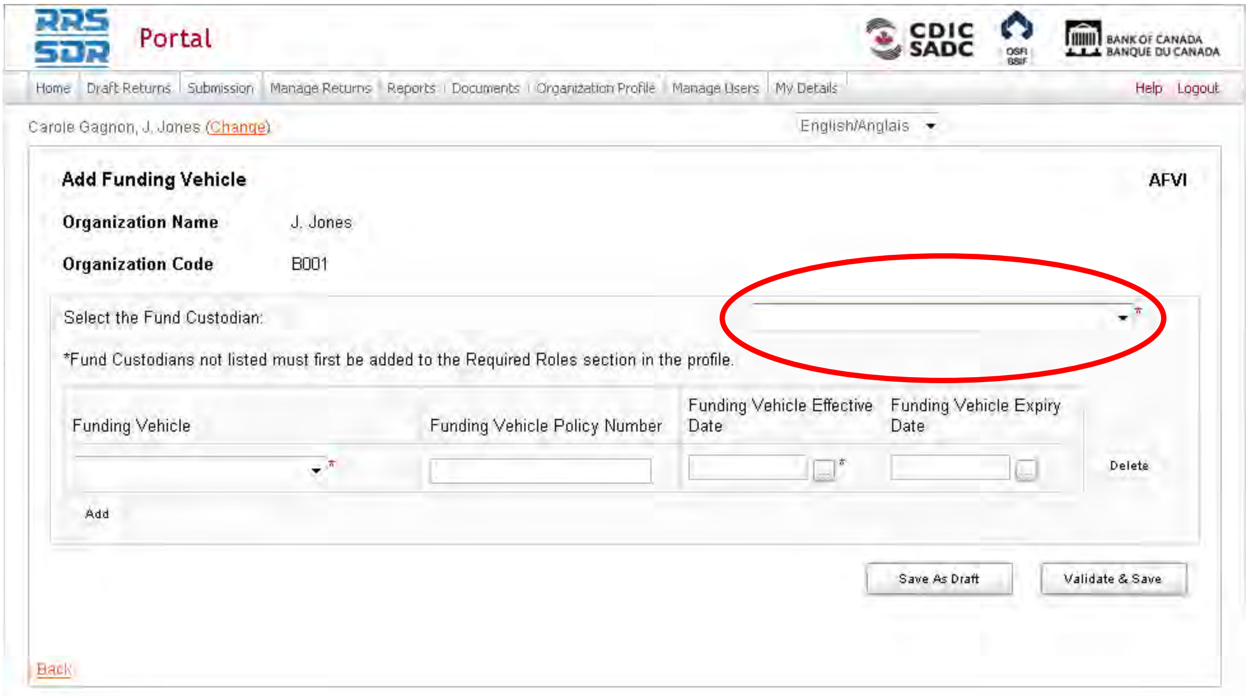

Figure 4-43 Draft Return Page

11. Select the Fund Custodian from the drop down menu. (This information will be based on the information submitted on the previously submitted return).

12. Click the Validate & Save button.

13. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.7 How to make changes related to a Canadian Organization's Board of Directors Information

When you are required to remove and/or add directors from your organization profile, this will usually require a two-return process.

You must first complete and submit the Required Role and Contact Information (RRCI) Return to add the full name including salutation, their residential address, the role of director or chairman as well as the date the director's term of office first began. The RRCI return would also be used to add a role expiry date of any departing director. Once this return has been successfully submitted, you must then complete and submit the Board of Director Information (BDI) Return. This return adds the specific director information for the new director being added.

Within the BDI return, please list the country(ies) of citizenship, the Board Committee(s) on which the director serves, whether the director is an employee of this Financial Institution or any Subsidiary of this Financial Institution, the director's affiliation type as well as their Affiliate and Non-Affiliate information.

	NOTE:
	When it comes to the Board Chairman and Director roles, an individual can only hold 1 of these roles at any given time. It is understood that if an individual is given the role of Board Chairman, this individual is also considered a Director.

4.7.1 How to Add/Remove a Director/Board Chairman from your Organization Profile

The following instructions are specific to when you are required to add a new director/board chairman and remove an existing director/board chairman from your organization profile.

In this instance, using the Required Roles and Contact Information return, you are first required to add a role expiry date to the existing director/board chairman (individual) under the Update an existing required role and contact information section. Please follow steps under 4.3 How to delete an individual from your organization profile.

Secondly, you will then be required to add the new individual (director/board chairman) under the Add a new required role and contact information section. Please follow steps under 4.2.1 How to add an individual to your organization profile.

Once the first return has been successfully completed and submitted, you must then create and submit the Board of Director Information return.

To create the Board of Director Information return, follow the steps below.

1. Hover your mouse over the Manage Returns menu item.

2. Click **Create Return**.

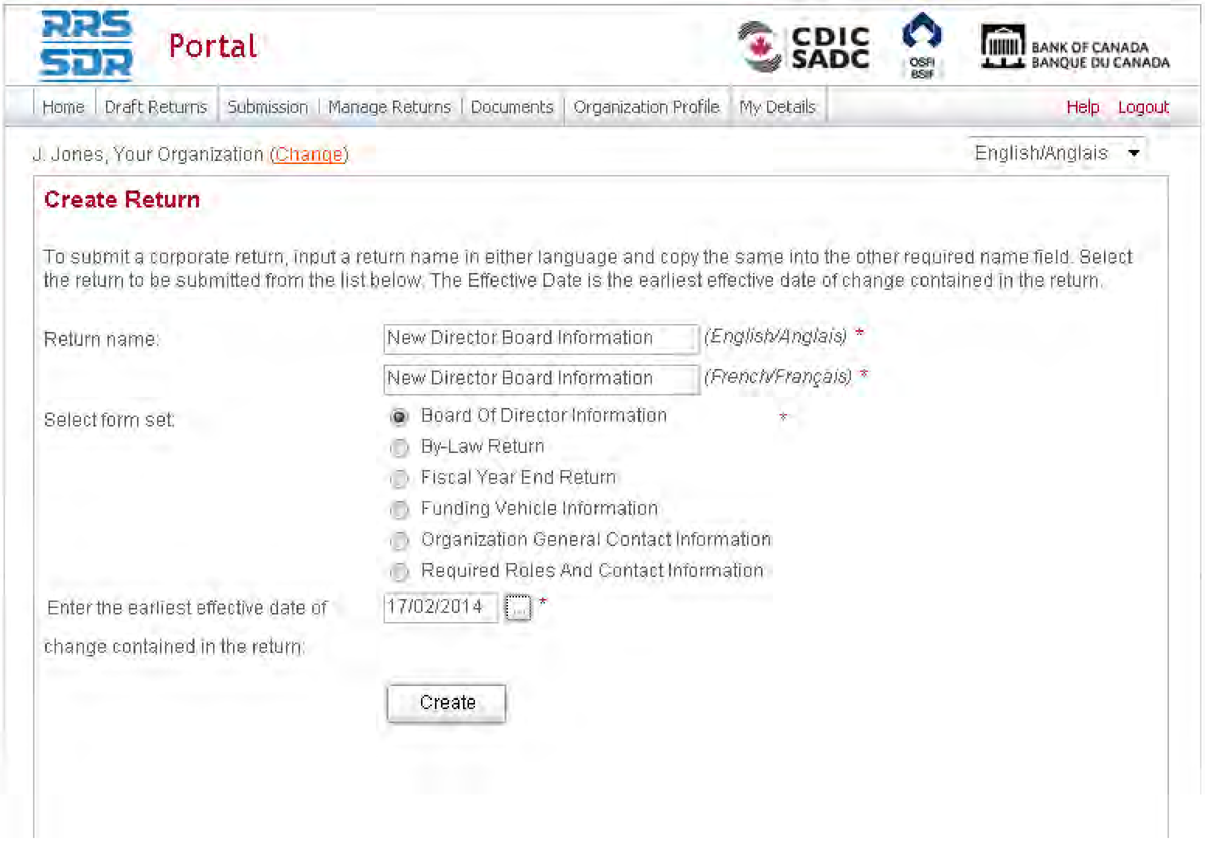

Figure 4-44: Create Return Page

3. Enter an English and French name for the return (see example above).

4. Select Board of Director Information.

5. Enter the Effective Date of change.

6. Click the **Create** button.

7. Click the Draft Returns menu item to view the return in the draft folder.

Figure 4-45: Draft Returns Page

8. Click on the New Director Board Information to open the return.

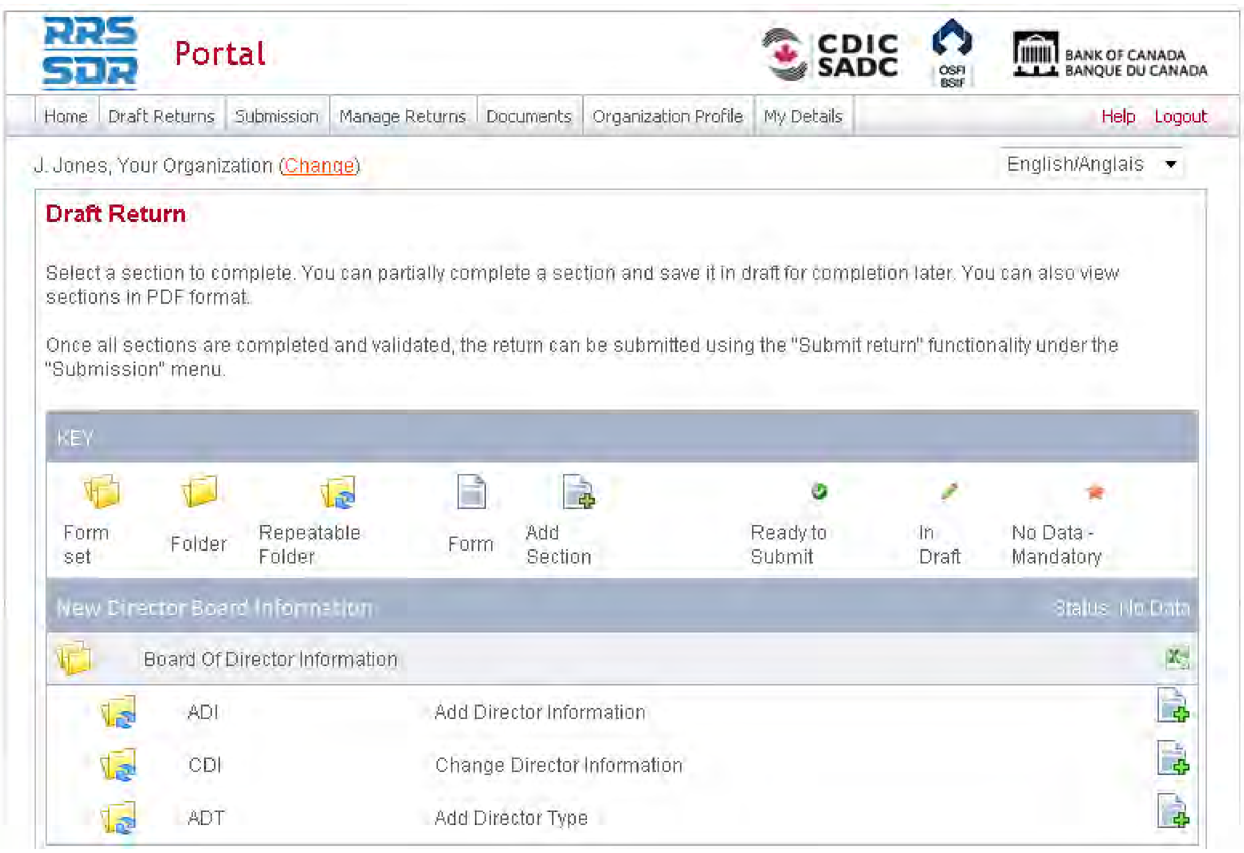

Figure 4-46: Draft Return Page

9. Click on “Add Instance” on the right hand side next to Add Director Information.

10. The select the name of the Director you wish to provide information for, from the drop down menu.

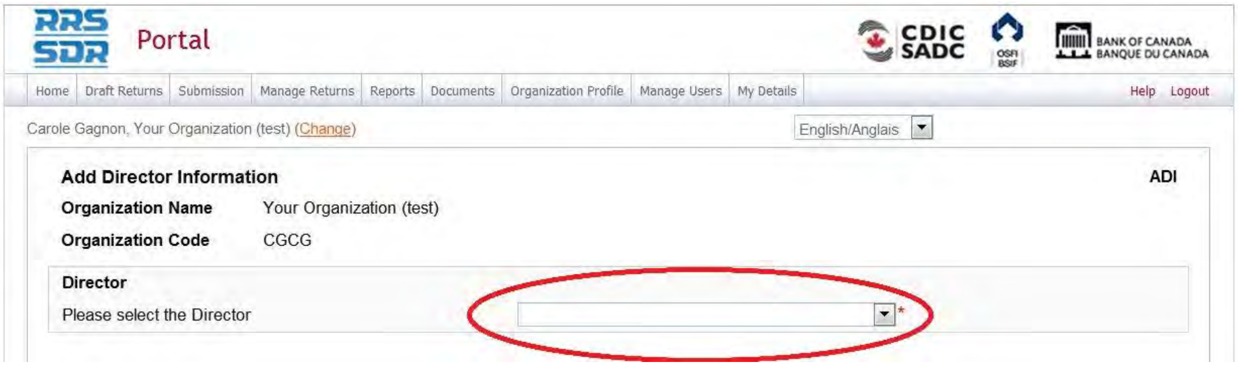

Figure 4-47: Add Director Information Page

11. Under Director Citizenship History, provide the director's countries of citizenship and the Director Citizenship Effective Date.

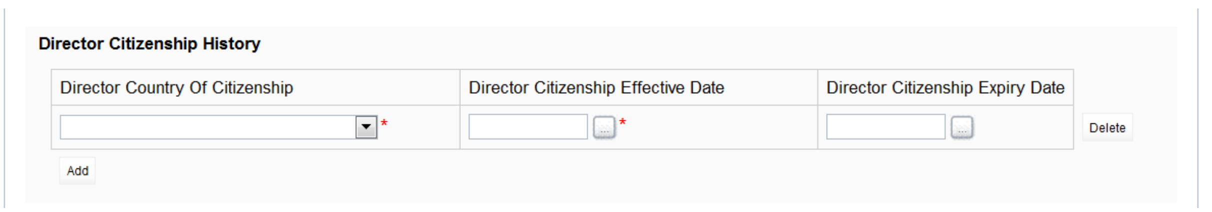

Figure 4-48: Add Director Information Page

Note

- The Director Citizenship Effective Date should be the same effective date that the individual became a director. **We are not looking for his date of birth in this instance.**
- The Director Citizenship Expiry Date should always remain blank in this instance.

12. Under Board Committee Membership History, provide the names of each board committees the director seats on, as well as the director's committee member type (member or chair person) and the member type effective date.

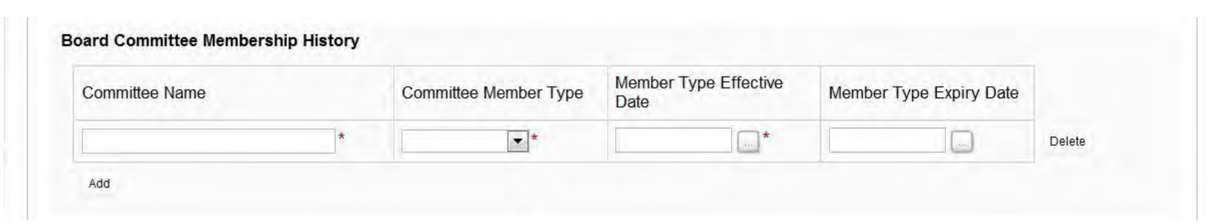

Figure 4-49: Add Director Information Page

Note

- The Member Type Expiry Date should always remain blank in this instance.

13. Under Affiliation Type History, provide the affiliation code, as applicable, from the drop down menu and the director affiliation type effective date.

Note

- For example, if a director is an officer or employee of the Financial Institution or an Affiliate "3(a)" will be shown as their Affiliation type. Any other Affiliation status must be indicated by choosing one of "3(b)" to "3(i)", as applicable by the Act. The definitions can also be found under Portal Documents/English/Return Instructions/Corporate Returns. If none of the above applies, this field should be left blank.

Figure 4-50: Add Director Information Page

Note

- The Director Affiliation Type Expiry Date should always remain blank in this instance.

14. Under Affiliate/Non-Affiliate History, you are required to provide a file attachment containing both the director's affiliate and non-affiliate information. The file attachment can either be in Excel, Word or PDF version.

Affiliate Details

- If the Director is an officer or an employee of the Financial Institution or any Affiliate thereof, indicate the principal position(s) held as of the date of the Annual Meeting of shareholders or date of the appointment. (If the Director is not an officer or employee, no information is required.)

Non-Affiliate Details

- List all other bodies corporate or firms (other than the Financial Institution and Affiliates) in which the director is a director, officer or member.

Figure 4-51: Add Director Information Page

Note

- The Director's Affiliate/Non-Affiliate file attachment cannot be amended. You are required to submit a new file attachment after every Annual General Meeting or when there are changes during the year.

15. Under Add Director Type, this section only applies to Canadian Life Insurance Companies. In this section, you are required to let OSFI know if the director is also a "Shareholder" of the company as well as the director type effective date.

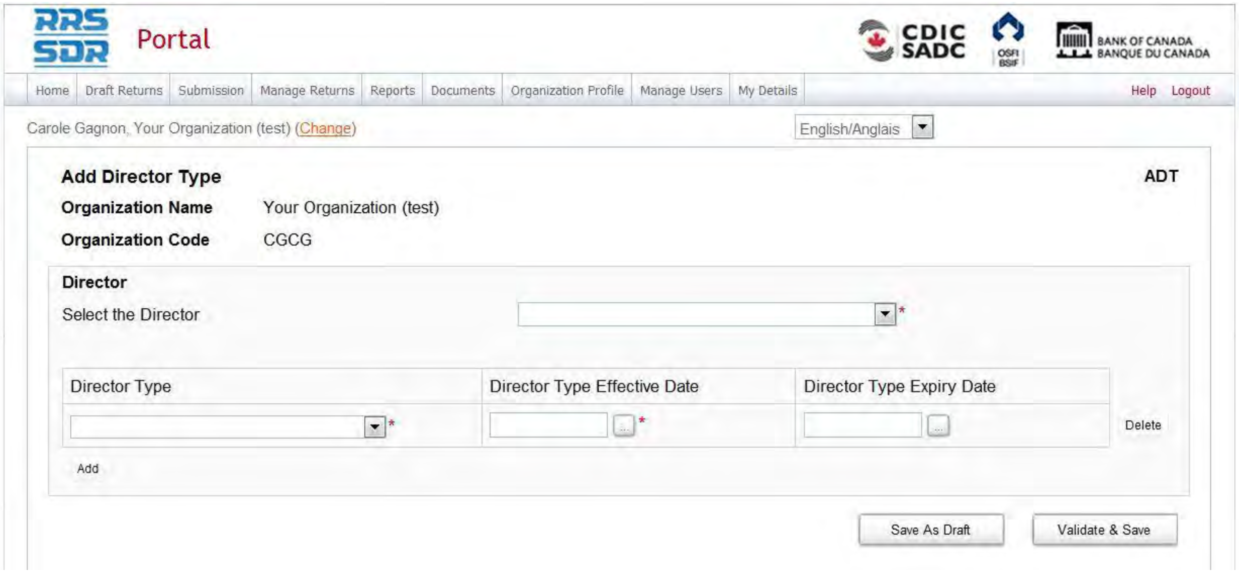

Figure 4-52: Add Director Information Page

	Note
	• The Director Type Expiry Date should always remain blank in this instance.

16. To provide the information on whether the director is also an employee of this FI or any of its subsidiaries, this information must be provided under the Change Director Information Page. The current default is set to No.

17. Click on "Add Instance" on the right hand side next to Change Director Information.

18. Then select the name of the Director you wish to provide information for, from the drop down menu.

19. To provide a "Yes" response to this question, you must check off the box on the left hand side of the question to enable the question, then you must also check off the box on the right hand side.

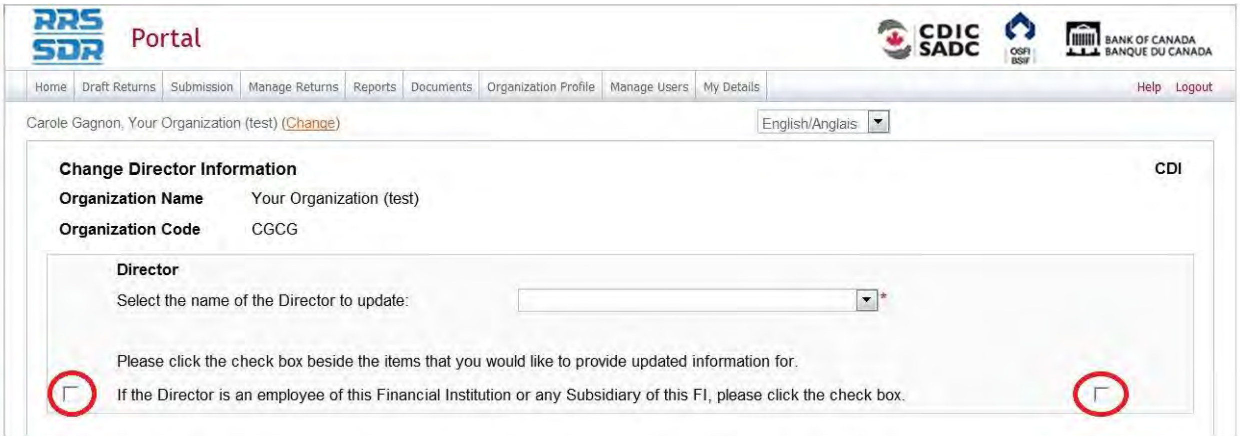

Figure 4-53: Change Director Information Page

20. Click the Validate & Save button.

21. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.7.2 How to make board committee name changes within your Organization Profile

To make board related changes to an existing Director/Board Chairman within your organization profile, you will need to create the Board of Director Information return.

The following example explains how to make changes to board committee names, i.e. your Audit Committee has been renamed to Audit and Risk Committee.

	Change Director Information Page
	Other than the director/employee question at the top of this page, this page must only be used to add membership related expiry dates. You cannot update membership information on this page. You can only end date existing information, then add any new information under the Add Director Information page.

1. Hover your mouse over the Manage Returns menu item.

2. Click **Create Return**.

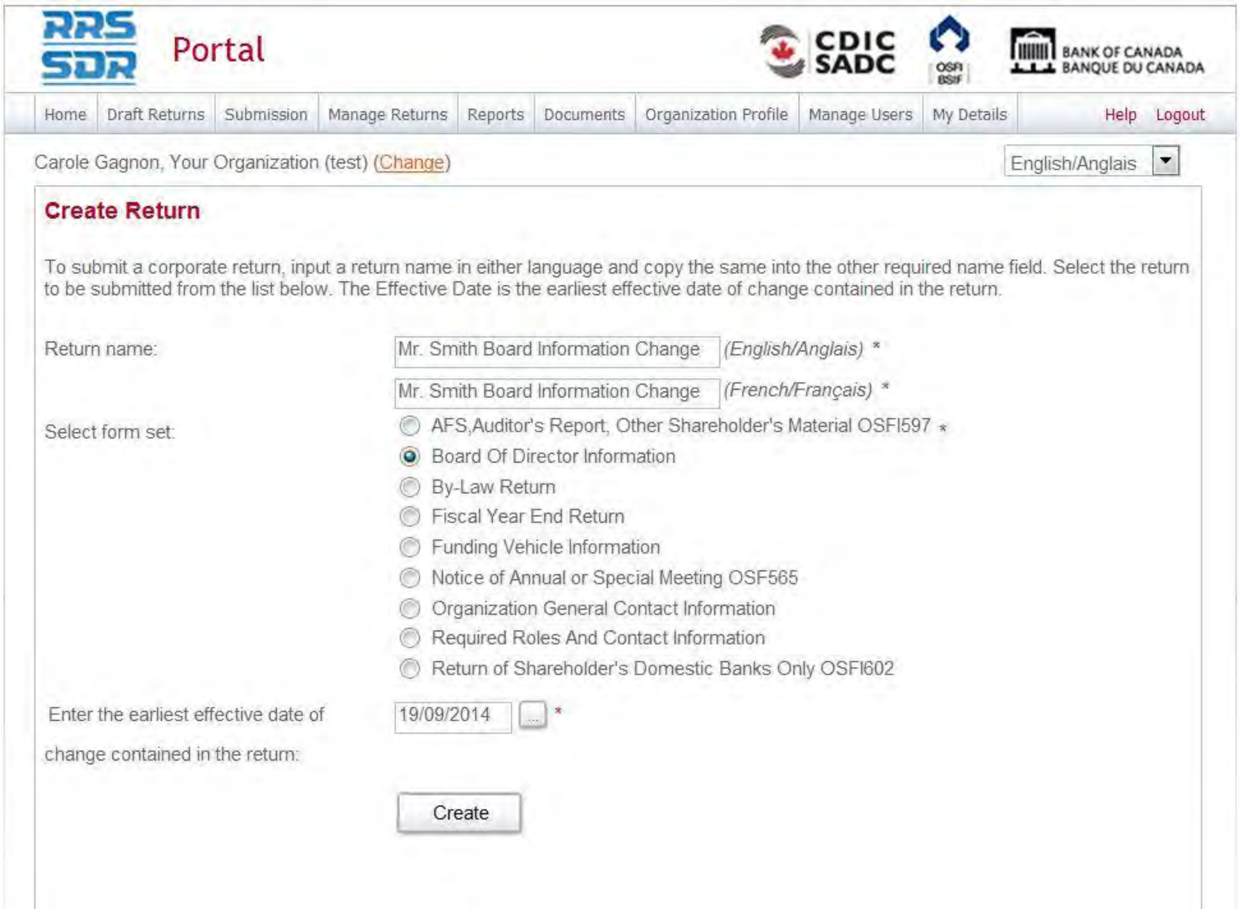

Figure 4-54: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Board of Director Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click the Draft Returns menu item to view the return in the draft folder.
8. Click on the newly created return to open the return.

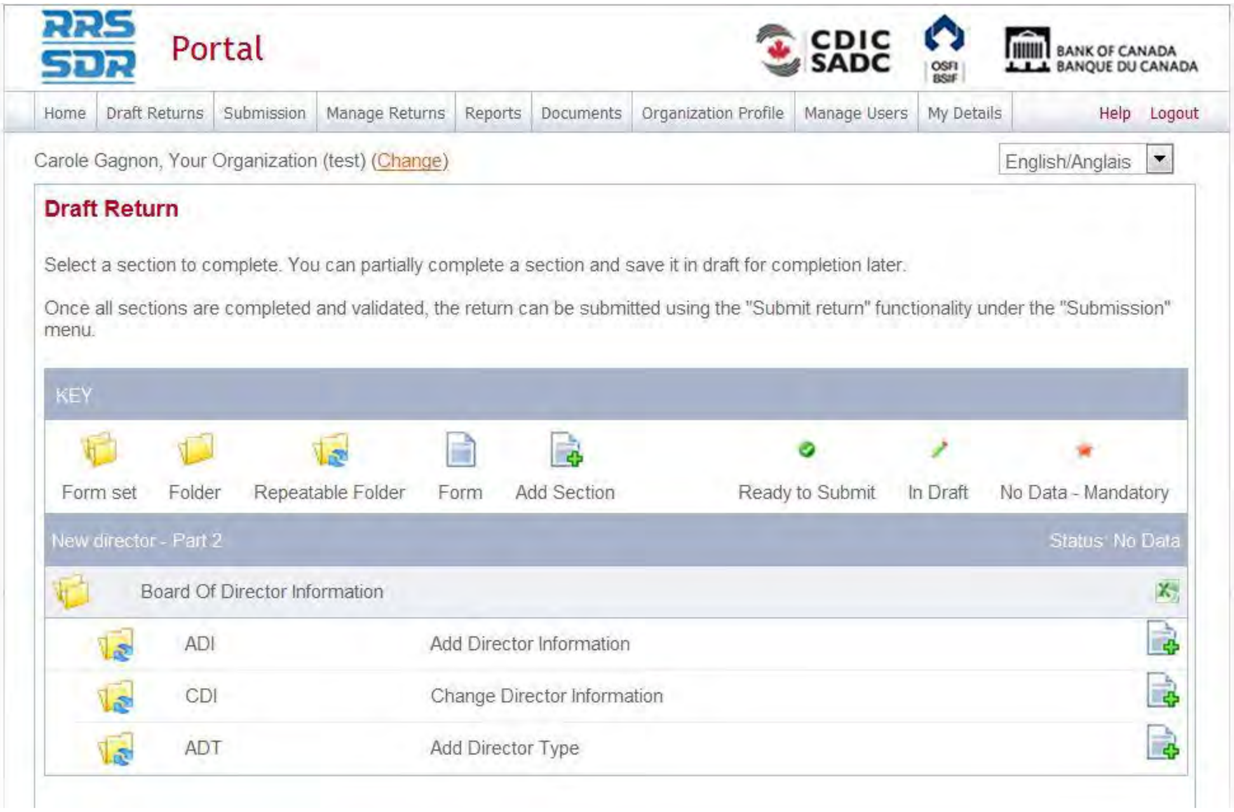

Figure 4-55: Draft Return Page

9. Click on "Add Instance" on the right hand side next to Change Director Information.
10. The select the name of the Director you wish to provide information for, from the drop down menu.
11. Enter the full name of the committee you wish to remove, exactly as shown under the organization profile.
12. Select the appropriate member type for the individual.

	NOTE:
	When making changes to an existing director, the system will not automatically pre-populate the director information from the organization profile.

13. Select the appropriate member type expiry date (see example below).

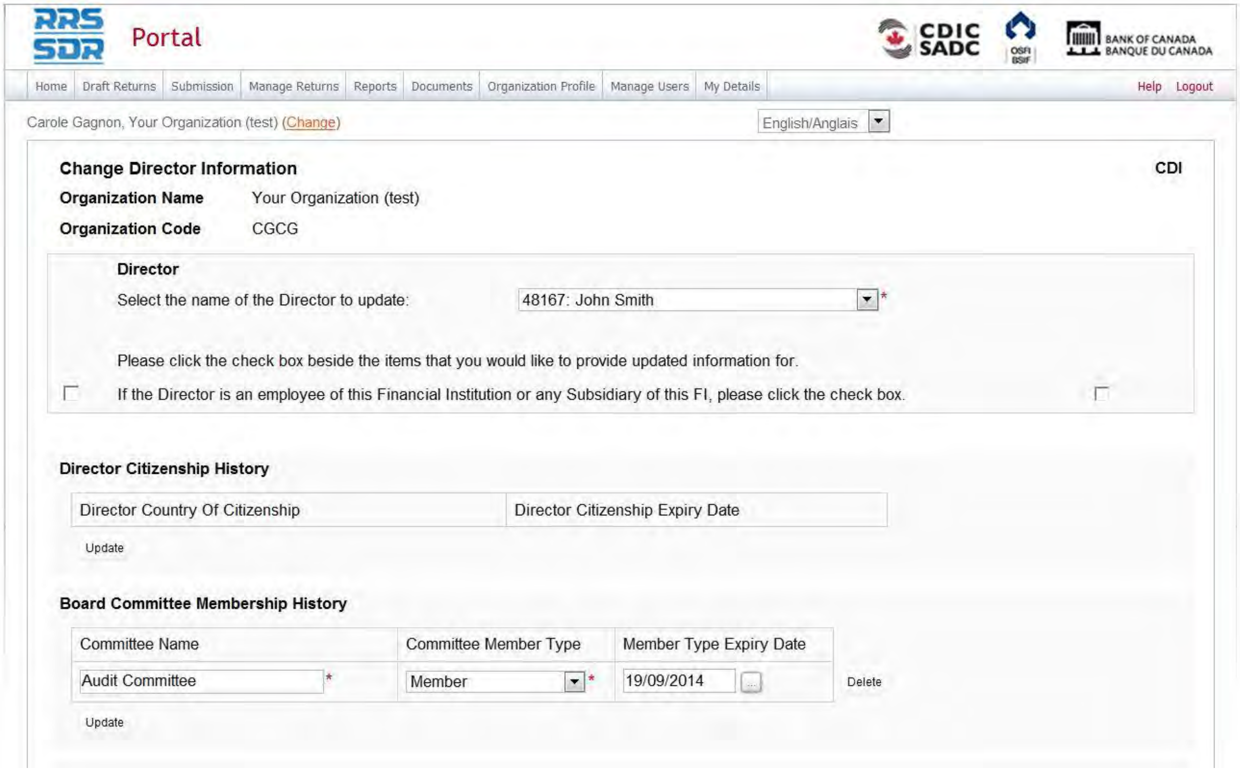

Figure 4-56: Change Director Information Page

Board Committee Membership History

When it comes to committee names, it is critical that the name be identical to the name as it appears on the organization profile. If the name within your profile is shown in English and in French, then the full name must also appear on this page (i.e. Audit Committee / Comité de révision). You can also accomplish this by doing a copy and paste from your profile into this return. The system is very sensitive in this instance and even an additional space will result in a validation error upon validating and saving.

14. Click the Validate & Save button. This will bring you back to your Draft Return page.

15. Now click on “Add Instance” on the right hand side next to Add Director Information.

16. The select the name of the Director you wish to provide information for, from the drop down menu.

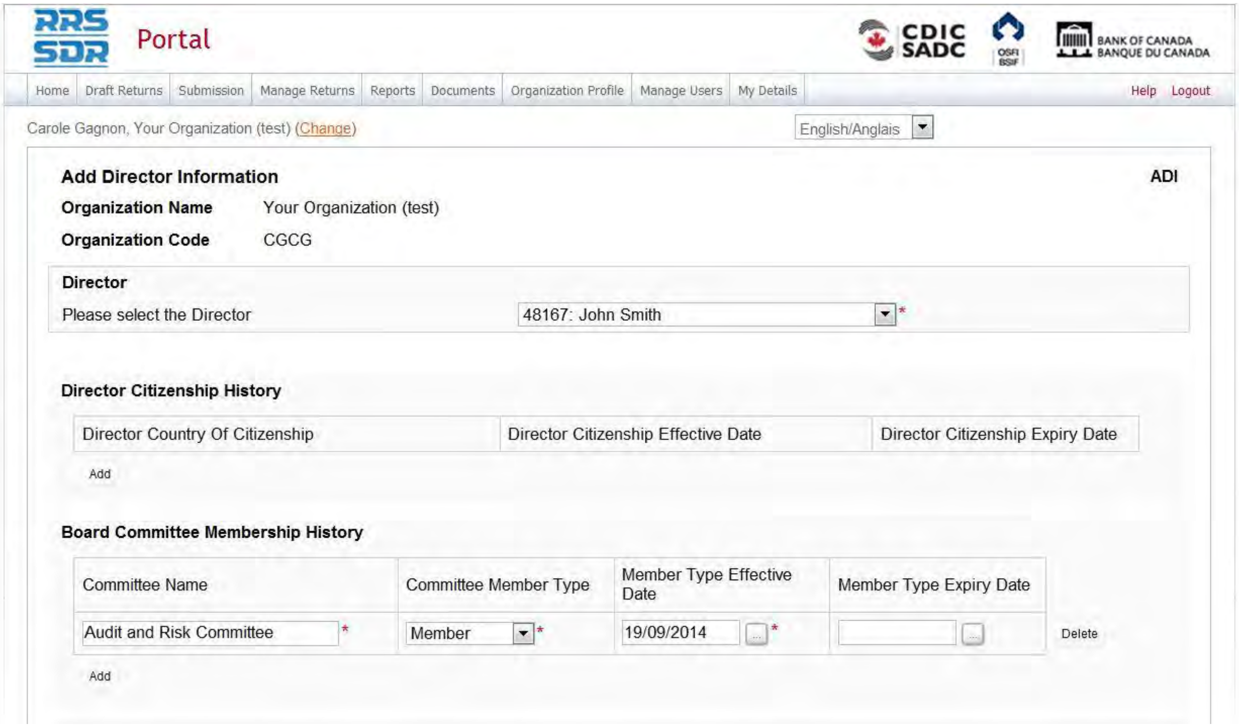

Figure 4-57: Add Director Information Page

17. Under Board Committee Membership History, click on the "Add" button.
18. Type the new name of the committee, in the language of your choice.
19. Select the appropriate committee member type for the individual.
20. Select the appropriate member type effective date.
21. Click on the Validate and Save button.

NOTE:

You will be required to make the same change for each director listed on the committee name for which you are changing.

22. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

4.7.3 How to make board committee membership changes within your Organization Profile

To make board committee membership changes to an existing Director/Board Chairman within your organization profile, you will need to create the Board of Director Information return.

The following example explains how to make changes to a director's membership on a specific board committee, i.e. the director went from being a regular member to the chair person of the Audit Committee.

	Change Director Information Page
	Other than the director/employee question at the top of this page, this page must only be used to add membership related expiry dates. You cannot update membership information on this page. You can only end date existing information, then add any new information under the Add Director Information page.

1. Hover your mouse over the Manage Returns menu item.
2. Click **Create Return**.

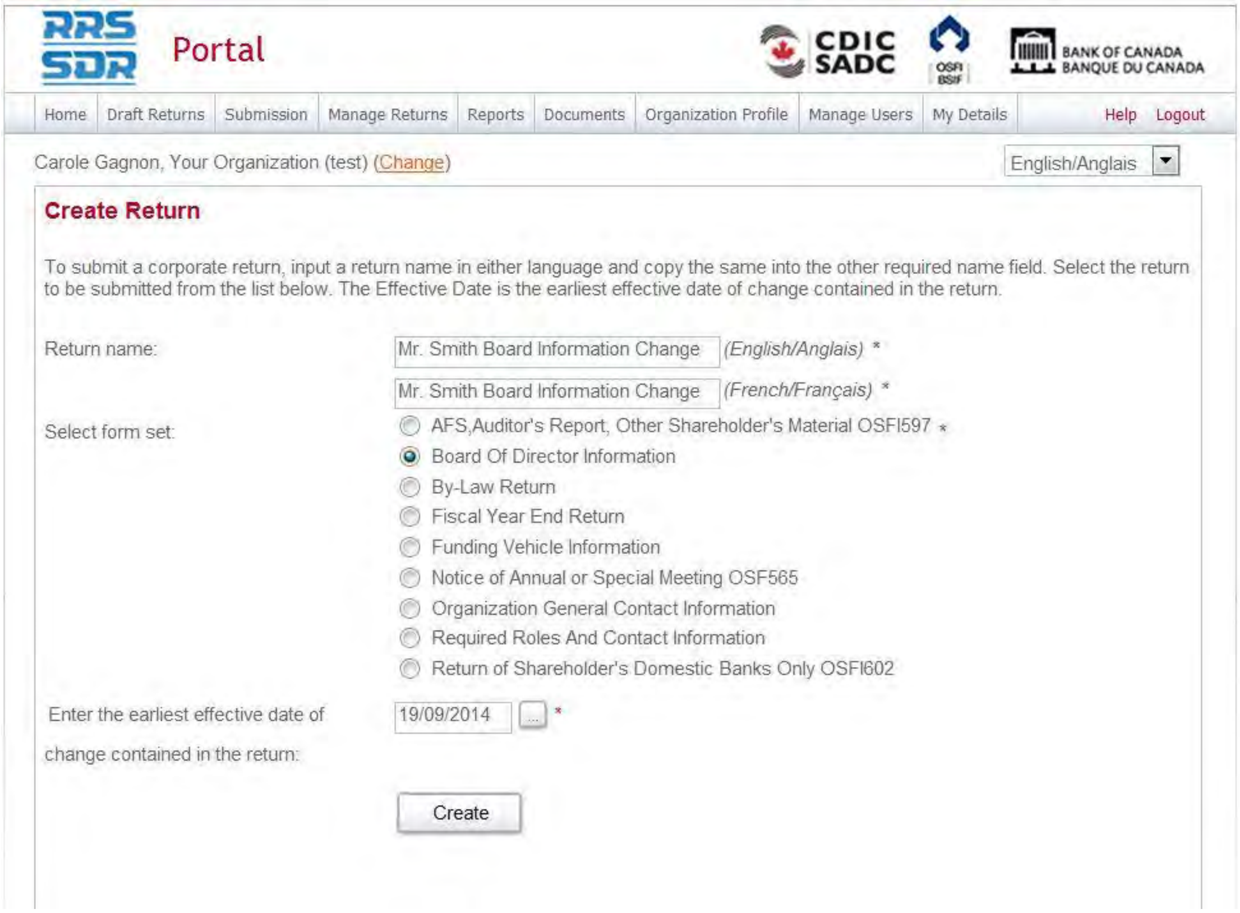

Figure 4-58: Create Return Page

3. Enter an English and French name for the return (see example above).
4. Select Board of Director Information.
5. Enter the Effective Date of change.
6. Click the **Create** button.
7. Click the Draft Returns menu item to view the return in the draft folder.
8. Click on the newly created return to open the return.

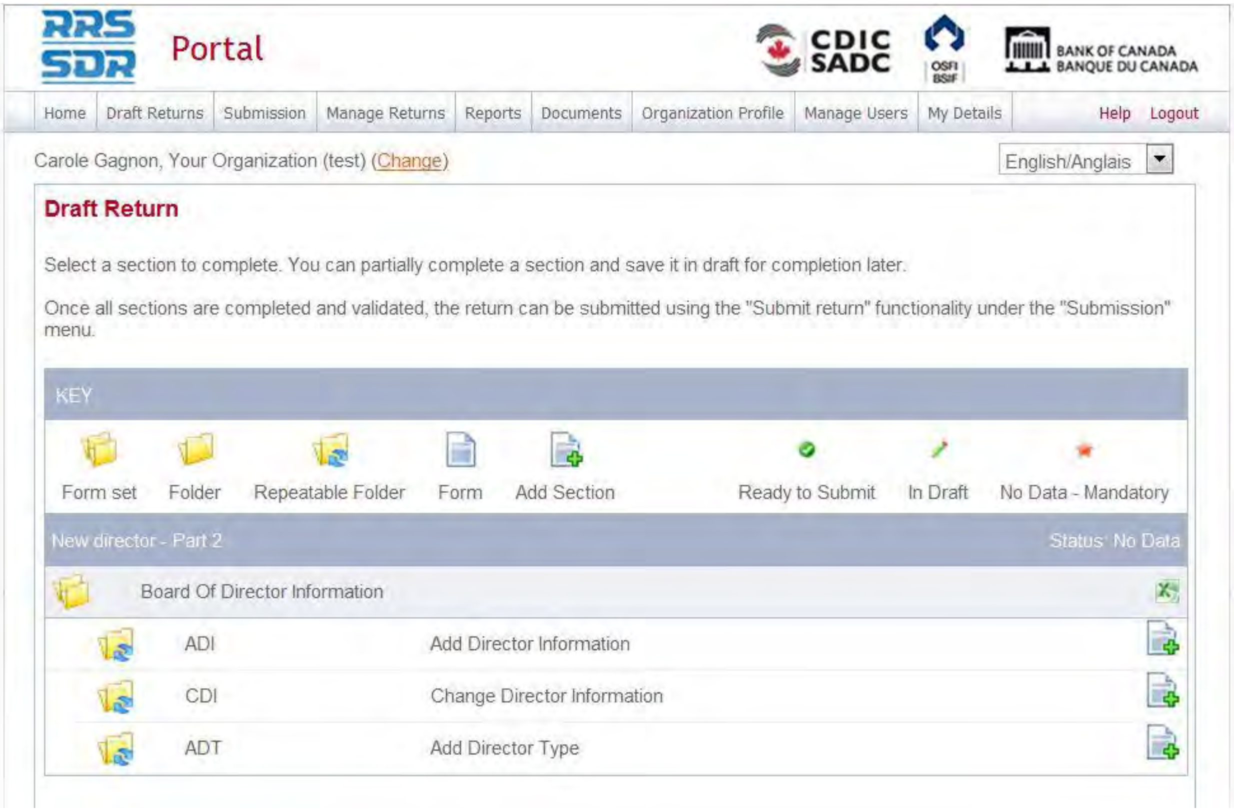

Figure 4-59: Draft Return Page

9. Click on “Add Instance” on the right hand side next to Change Director Information.
10. The select the name of the Director you wish to provide information for, from the drop down menu.
11. Enter the full name of the committee you wish to remove, exactly as shown under the organization profile.
12. Select the appropriate member type for the individual/committee.
13. Enter the appropriate member type expiry date (see example below).

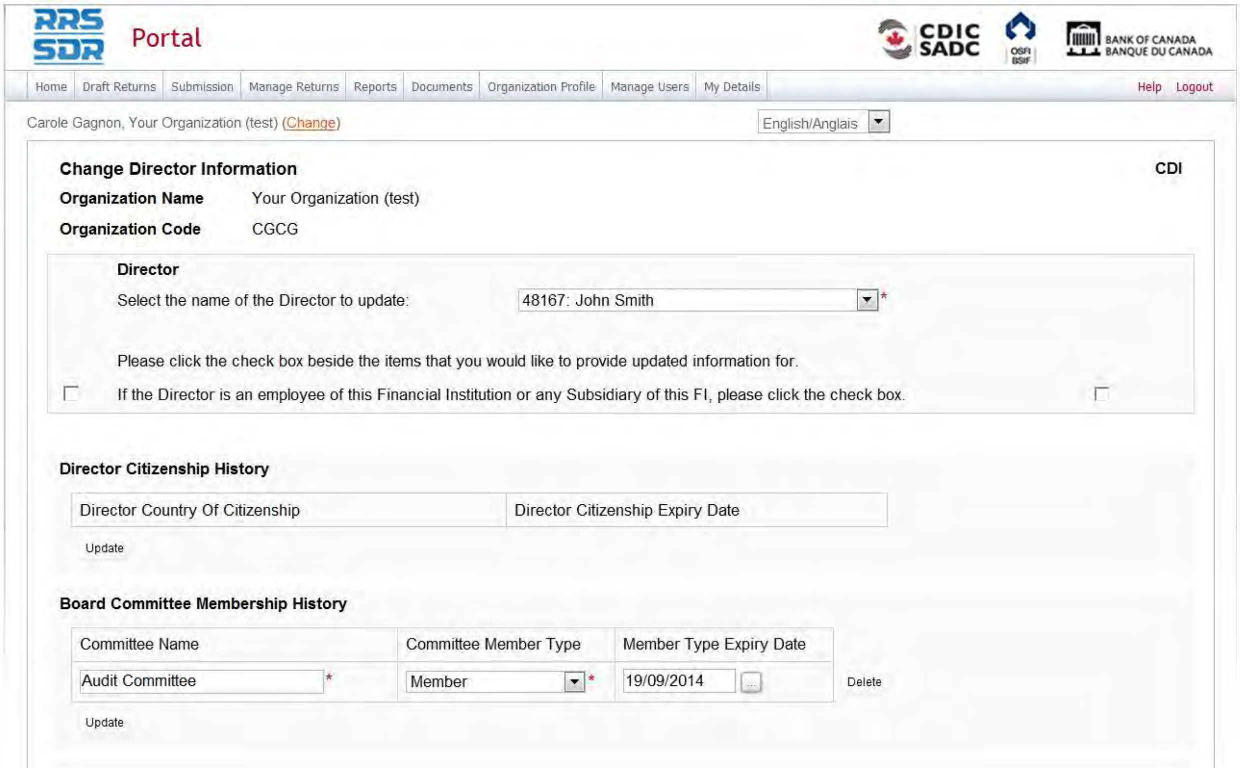

Figure 4-60: Change Director Information Page

	**Board Committee Membership History**
	When it comes to committee names, it is critical that the name be identical to the name as it appears on the organization profile. If the name within your profile is shown in English and in French, then the full name must also appear on this page (i.e. Audit Committee / Comité de révision). You can also accomplish this by doing a copy and paste from your profile into this return. The system is very sensitive in this instance and even an additional space will result in a validation error upon validating and saving.

14. Click the Validate & Save button. This will bring you back to your Draft Return page.
15. Now click on "Add Instance" on the right hand side next to Add Director Information.
16. The select the name of the Director you wish to provide information for, from the drop down menu.
17. Enter the name of the committee you wish to add.
18. Select the appropriate member type for the individual/committee.
19. Enter the appropriate member type effective date (see example below).

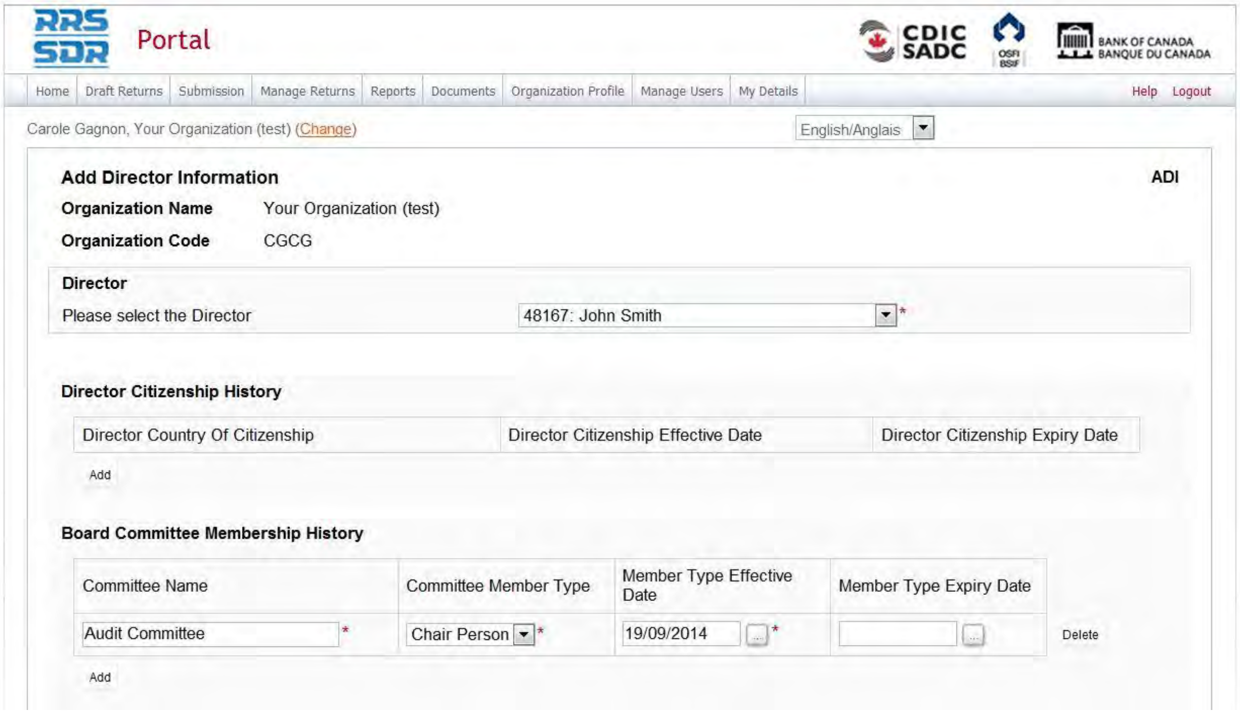

Figure 4-61: Add Director Information Page

20. Click on the Validate and Save button.

21. Follow instructions under 3.1 General Instructions on how to complete and submit a corporate return.

5.0 Viewing Documents

The Documents menu item provides the ability to view reference documents in the Portal Documents folder.

To view documents:

Begin at the RRS Welcome page.

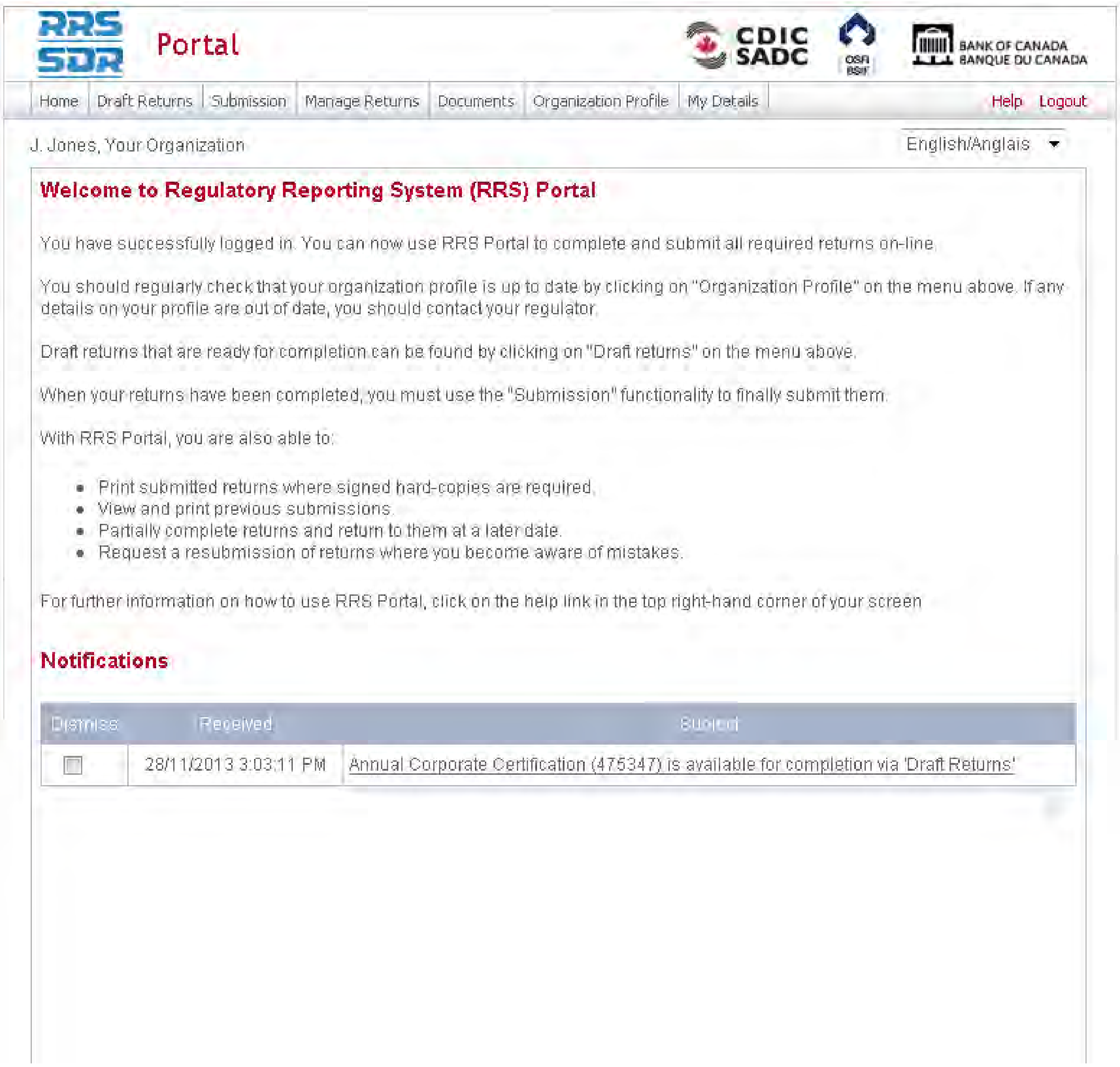

Figure 4-1: Welcome Page

1. Click the **Documents** menu item.

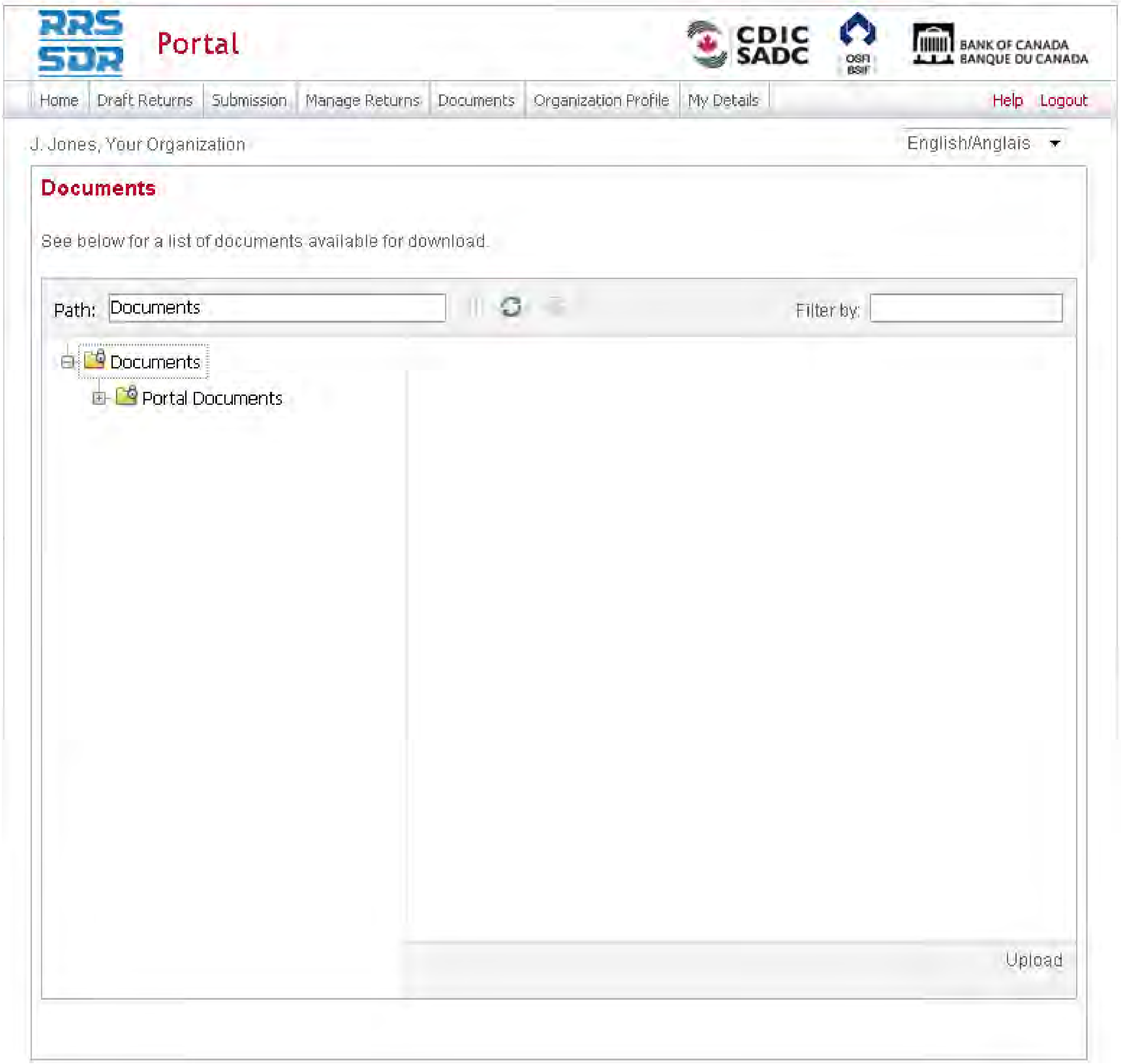

Figure 4-2: Documents Page

2. Double-click the Documents folder.
3. Double-click the Portal Documents folder.
4. Double-click the specific folder to be viewed.
5. Select the document to be viewed.
6. Click the green down arrow. A message displays prompting you to open or save the document.
7. Click the **Open** button. The document opens for viewing.

6.0 Organization Profile

The Organization Profile menu item can only be used to view the profile of your organization in RRS. This profile consists of information such as your organization's general contact information, its preferred language, general details of the organization, all required roles and their contact information, etc. This section provides instruction on how to view your organization profile and how to change profile information if required.

As described in Section 3.0, Scenario #3 is triggered when a review of your organization's profile indicates the need for an update to specific corporate information. This update is performed through the submission of a corporate return using the Manage Returns menu item.

To view your organization's profile:

Begin at the Welcome page.

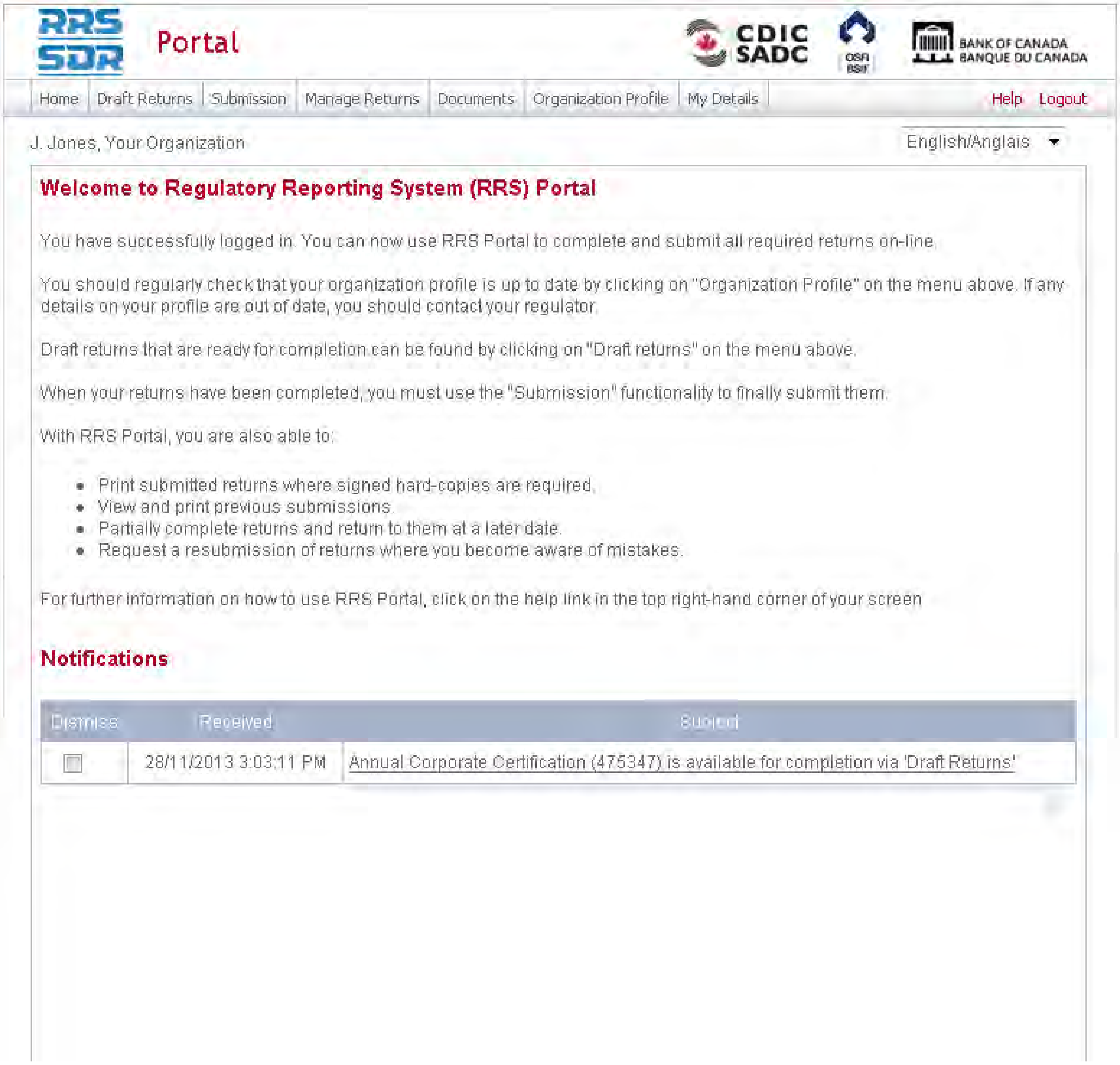

Figure 5-1: Welcome Page

1. Click the Organization Profile menu item.

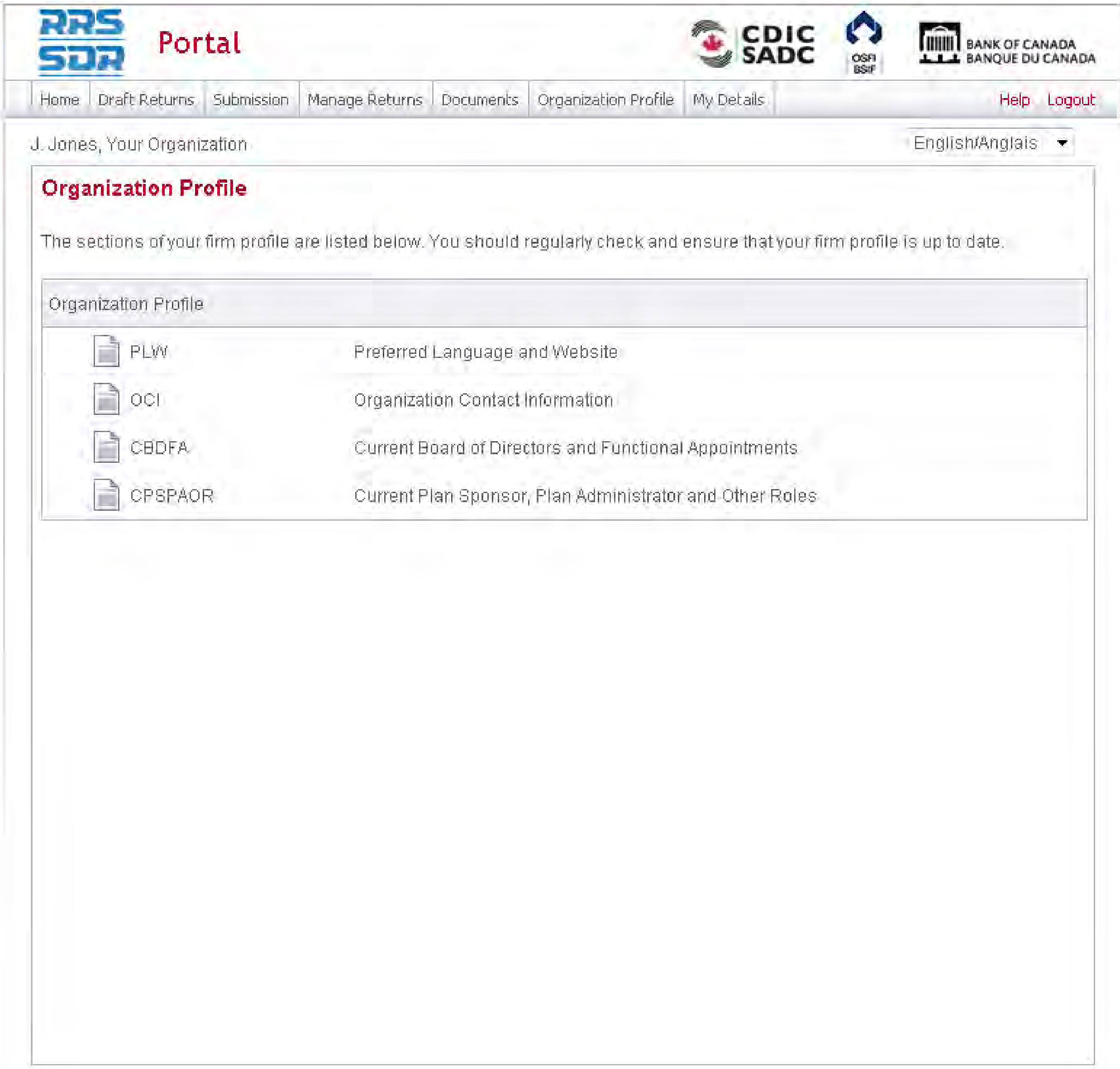

Figure 5-2: Organization Profile Page

2. Select a section of the organization profile to view.

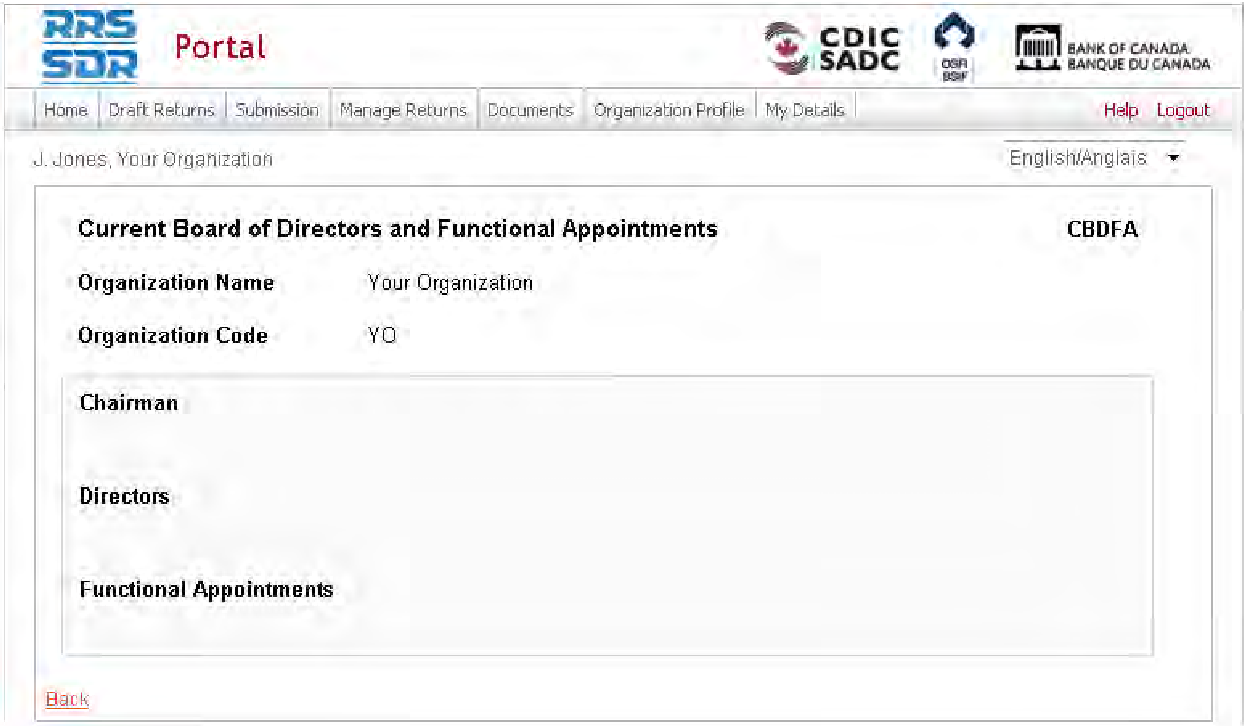

Figure 5-3: Board of Directors Section Page

3. Review the listed information.

<u>To change organization profile information:</u>

Begin at the Create Return page.

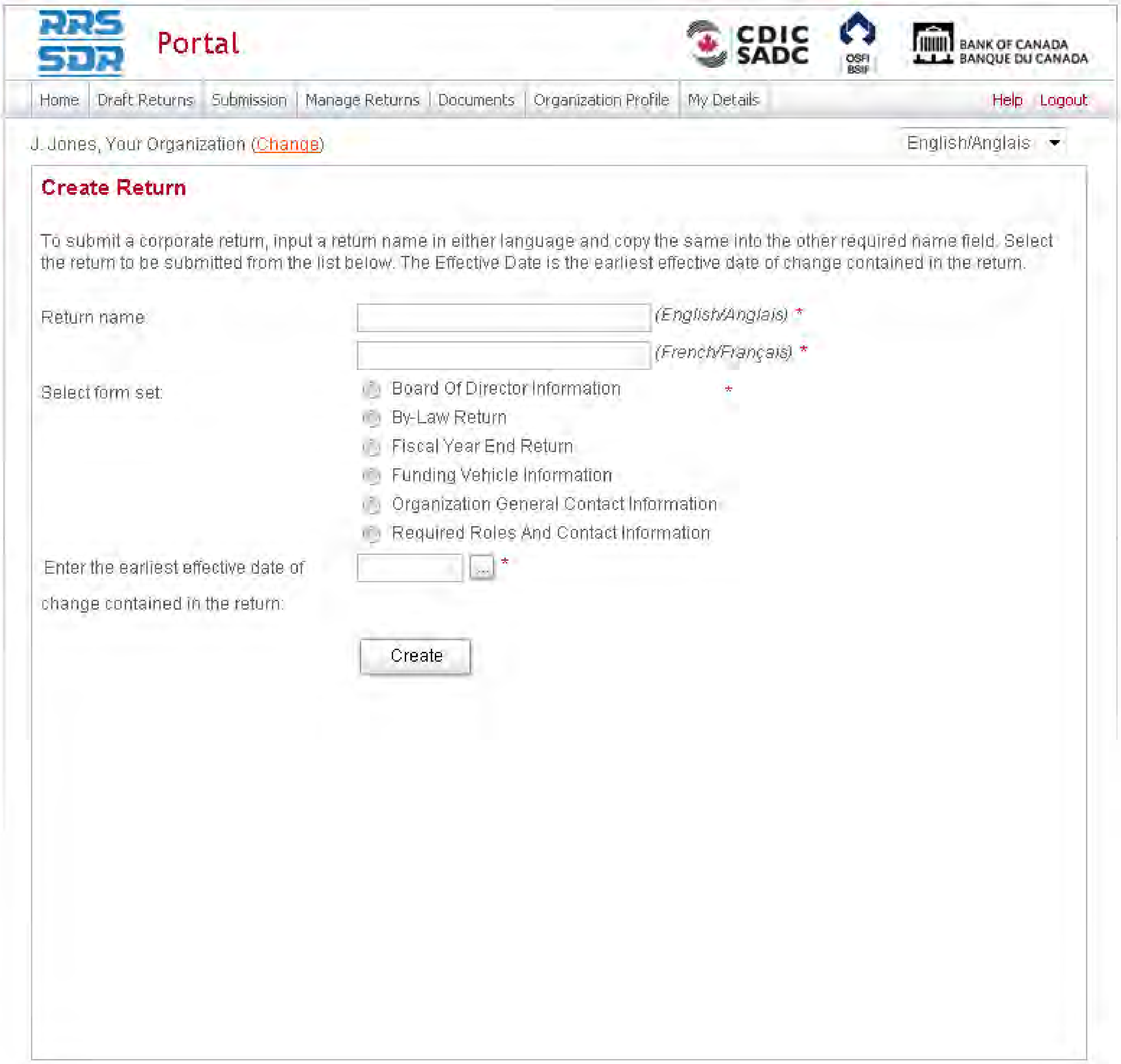

Figure 5-4: Create Return Page

Follow the steps outlined in Section 3.5 to 3.7 depending on the profile section that needs to be updated.

7.0 Managing Your Details

From the My Details menu item you can view and/or edit your user details and change your password. Although you have the ability to change your personal information ***it is strongly recommended that changes to your first and last name and email address be changed by your Local Registration Authority (LRA) to ensure that these user details are updated in both RRS and the Secure Site.***

Information that can be edited includes your first and last name, email address, telephone number and your language of preference. Information that can be viewed is your assigned permissions. Information that you can edit directly includes your telephone number and your language of preference.

To edit your user details:

1. Hover your mouse over the **My Details** menu item.
2. Click the **View/Edit My Details** sub-menu item.

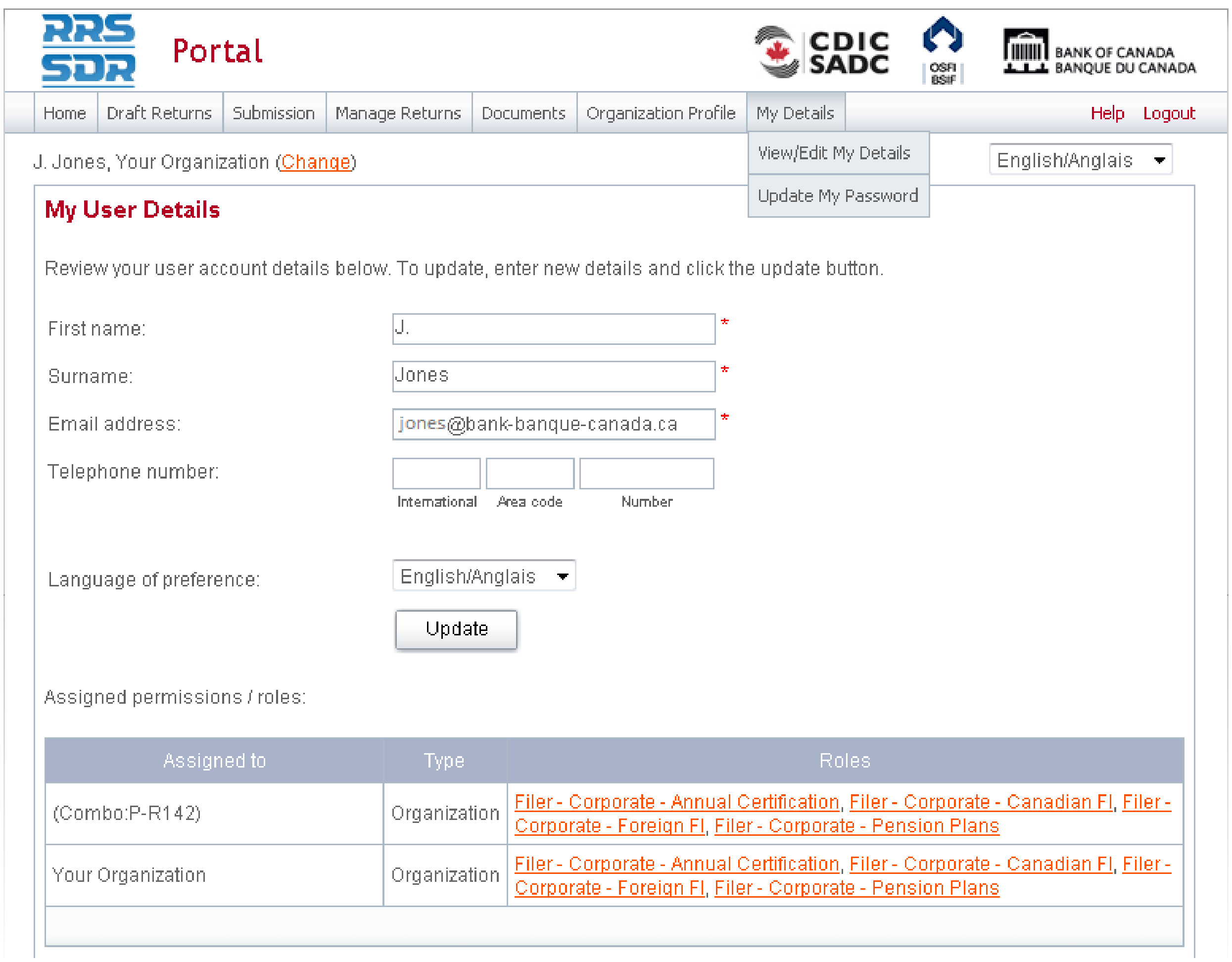

Figure 6-1: My Details Page

	If your first and/or last name or email address need to be updated:
	It is strongly recommended to contact your LRA to update your first and/or last name.

3. Enter your new telephone number in the **Telephone number** field.
4. Click the drop-down arrow on the **Language of preference** field to change your language. This will set the language that displays when you log into RRS.

   Note: you can change your language within a session by selecting the language drop-down from the top right of the application.
5. Click the **Update** button.

<u>To view assigned permissions:</u>

1. Click the name of a role in the **Roles** column within the **Assigned permissions** section.

2. Click each tab to view information about the permissions assigned to your role.

Figure 6-2: My Details Tabs Page

To change your password:

1. Hover your mouse over the **My Details** menu item.
2. Click the **Update My Password** sub-menu item.

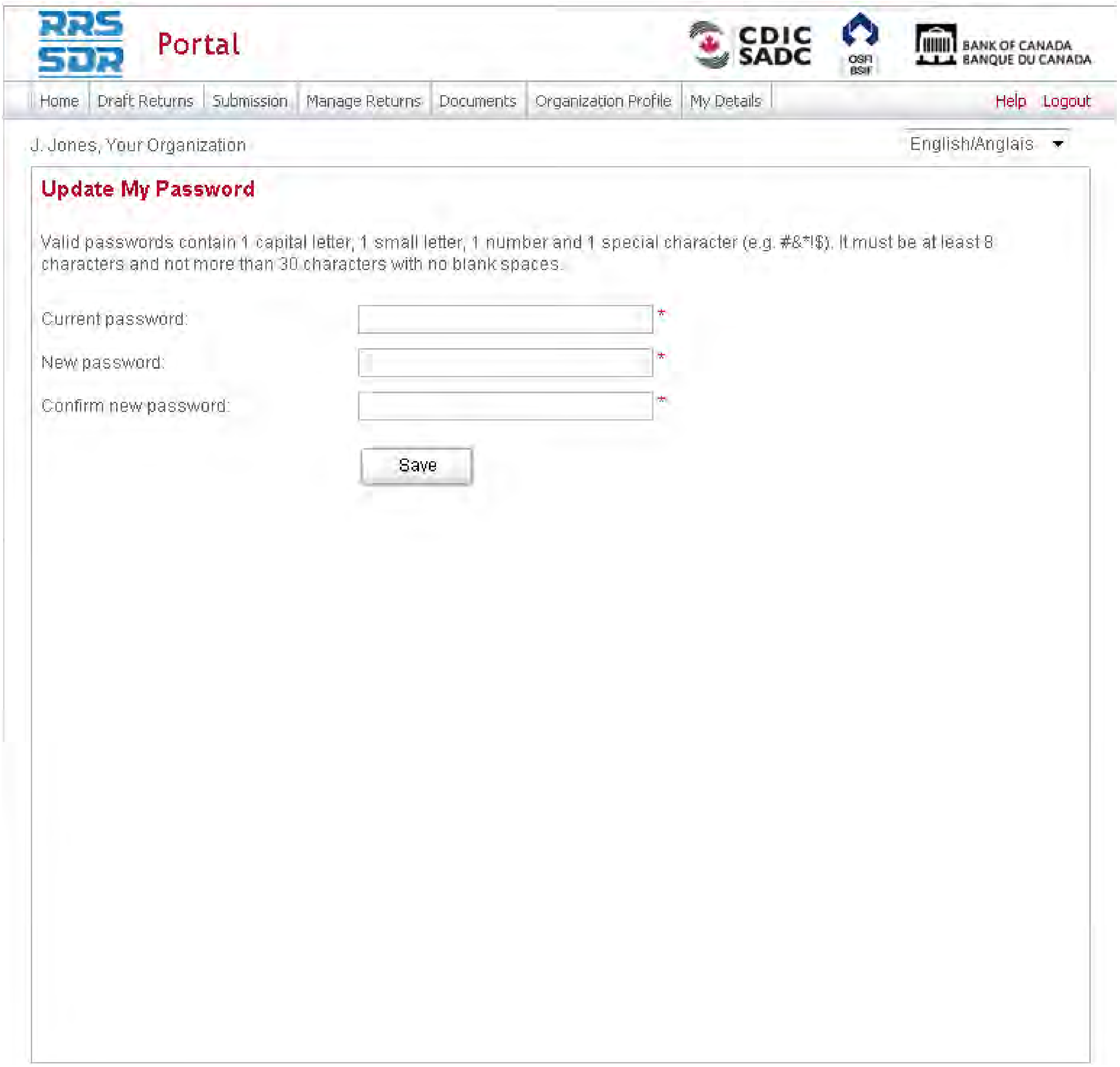

Figure 6-3: Update My Password Page

3. In the **Current password** field, enter your current password.
4. In the **New password** field, enter a new password.

	Valid passwords:
	Ensure your new password meets the following valid password criteria: passwords must be between 8 and 30 characters and contain 1 uppercase letter, 1 lowercase letter, 1 number and one special character.

5. In the **Confirm new password** field, re-enter your new password.

6. Click **Save**.

8.0 Managing Notifications

Notifications provide information such as when a return is ready to be completed as well as when a return presents an error. Notifications can be viewed and deleted from the Welcome page accessed through the Home menu item.

To view a notification:

1. Click the **Home** menu item. The notifications display.

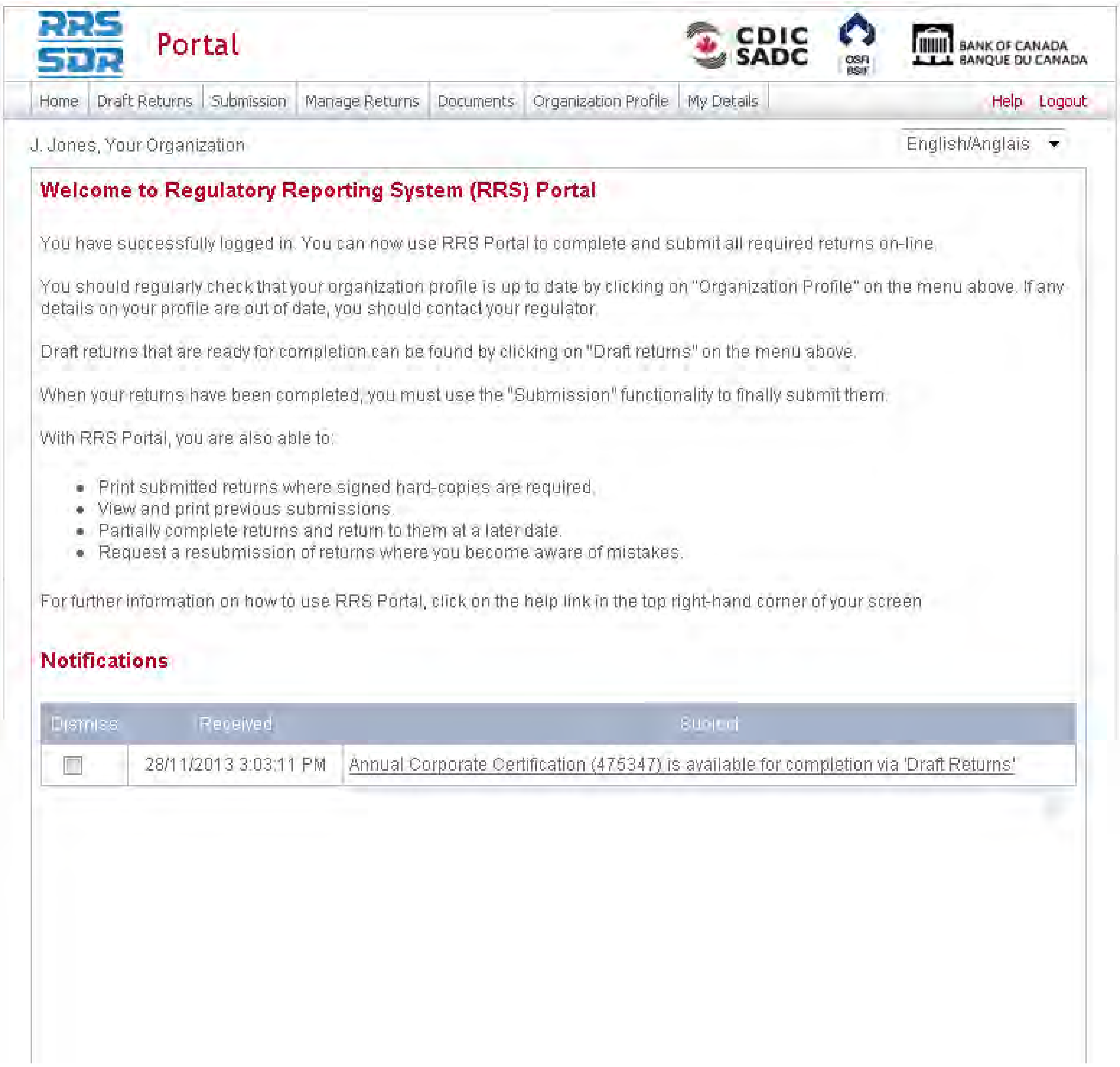

Figure 7-1: Help Page

2. In the **Subject** column, view the notification information.

To delete a notification:

1. In the **Dismiss** column, click the check box associated with the notification to be deleted. The notification is deleted.

9.0 Accessing Help

Help text is available on all topics within RRS.

To access RRS Help:

1. Click the **Help** link located on the top right of the application. The Help text displays.

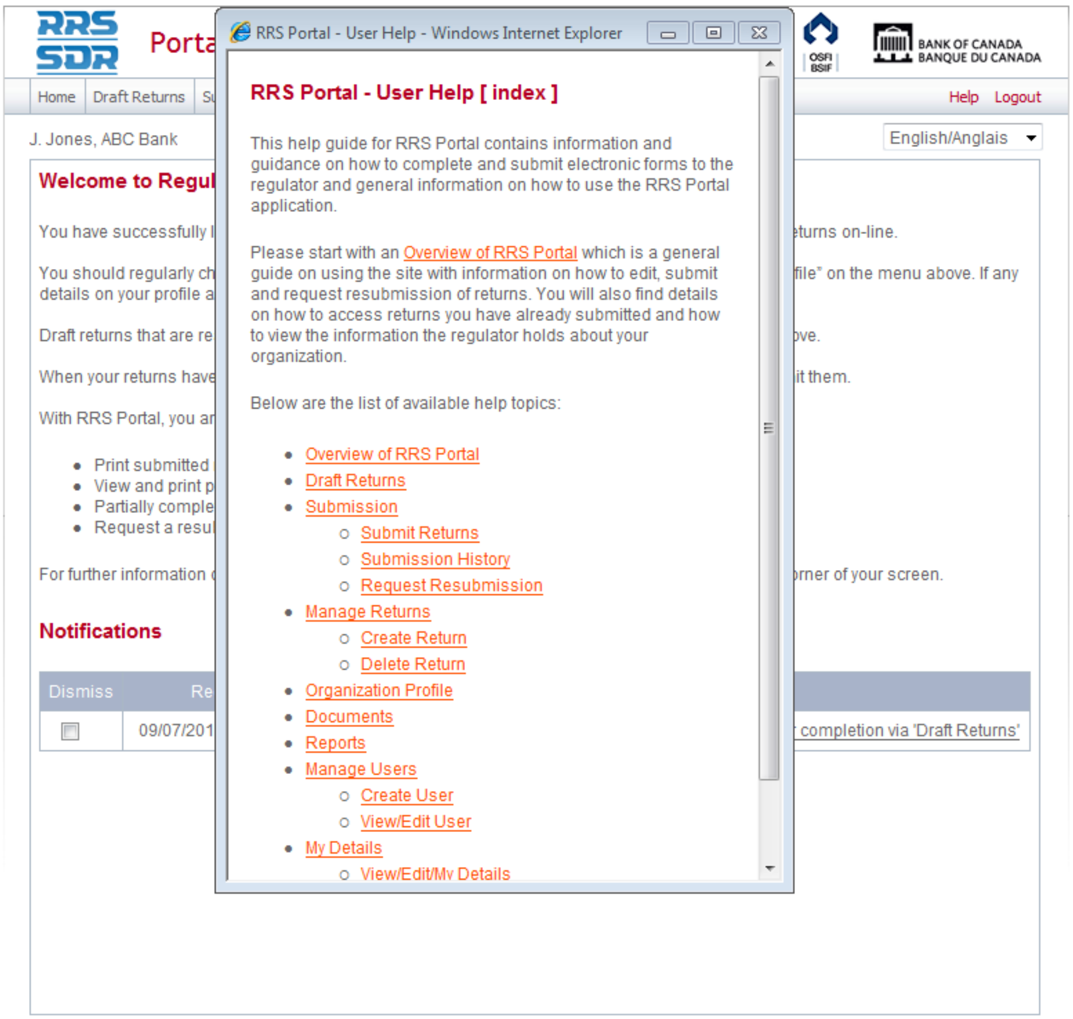

Figure 8-1: Help Page

	Other help options:
	1. The Documents menu item provides additional reference and training documents. 2. To receive more help with RRS you can contact your organization's LRA or contact the Bank of Canada at 1-855-865-8636.

10.0 Logout

RRS provides the ability to logout of your current session.

To logout of RRS:

1. Click the **Logout** link located on the top right of the application. A window displays asking if you are sure you want to logout.
2. Click **OK**. The login page displays.

10.1 Inactivity Logout

Each RRS session is set to logout automatically after two hours of inactivity.

	**If you are logged out due to inactivity:** RRS does not automatically save your work. It also does not return you to what you were working on when the forced logout occurred. It is important to save your work often.

11.0 Tips, Tricks and Troubleshooting

11.1 Saving Your Work

It is important to remember to save your work often. As stated in *Section 11.1 Inactivity Logout*, each RRS session is set to logout automatically after two hours of inactivity. If you are logged out due to inactivity, RRS does not return you to what you were working on prior to the forced logout.

11.2 Microsoft Excel

You can save a return in Microsoft Excel format by using the Excel button on the Draft Return page. This button enables a return to be saved to a specified area outside of RRS.

11.3 Two Users Working on the Same Return

It is possible to have more than one user working on the same return within RRS. Note that RRS does not inform you when another user is working on the same return. Two separate scenarios are described below; both scenarios involve two users, User 1 and User 2, accessing the same return at the same time.

Scenario 1 – Validate & Save: User 1 clicks the Validate & Save button on the return and the data is saved at version 1.1. Then User 2 clicks the Validate & Save button and also saves the return, overwriting the data saved by User 1 and updating the revision of the return to 2.1. In this circumstance, the data in the return saved last is the return data RRS displays as the most current.

Scenario 2 - Submit: User 1 successfully submits the return. User 2 attempts to submit the return but receives an access denied message as this return has already been submitted by User 1.

	View Audit Log:
	To determine who worked on a specific revision of a return, use the View Audit Log feature as described in *Section 3.2 How to View a Return*.

11.4 Printing Returns

To print a return, use the Excel icon on the Draft Return page to open the return in Microsoft Excel format then use the print feature in Microsoft Excel.

12.0 Glossary

Term/Acronym	Definition/Description
BoC	Bank of Canada
CDIC	Canada Deposit Insurance Corporation
CY	Calendar Year
Enhanced Authentication	A security requirement that applies to accessing RRS through the BoC's Secure Site
Filer	A user associated with a financial institution who files returns.
FI	Financial Institution
FRFI	Federally Regulated Financial Institution
FY	Fiscal Year
FYE	Fiscal Year End
LRA	Local Registration Authority
Organization	An element describing financial institutions or partner agencies.
OSFI	Office of the Superintendent of Financial Institutions
PDF	Portable Document Format
Portal	*See* RRS Portal
QE	Quarter End
Return	A collection of information that Filers or their representatives are required to submit to one or more Tri-agency partners
Return schedule	The calendar of return submissions which can or must be filed, specifying the filing periods and frequency of submissions.
RRS	Regulatory Reporting System
RRS Portal	A web application used to submit and view returns
RRS Supervision Centre	A web application used to create and manage returns, users, organizations and reports for Tri-agency only.
Status	Indicates the state a return is in, e.g., "In Draft"
Structural rule	The formatting and layout of a return submission
Supervision Centre	*See* RRS Supervision Centre
Tri-agency	A group made up of the Bank of Canada, the Office of the Superintendent of Financial Institutions and the Canada Deposit Insurance Corporation.
User	Any person who uses RRS with any level of privileges
User role	Gives a user access to specific features and functions.
Validation error	A message that displays the error that caused the validation process to fail. Users must correct the error to

Term/Acronym	Definition/Description
	continue.
Validation rule	A rule used during the validation process, expressed as an equation.
Web form	An on-screen or online display of a return.
Workstation	A computer used to access the BoC's Secure Site and the RRS application.
YE	Year End